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ABSTRACT

A collection of papers concerned with the Federal Government's efforts in the area of executive development are presented. The booklet is organized in three parts. The first three essays deal with problems, needs, and theories of executive manpower management. The problems of the Federal Government, as seen from an analysis of a small sample at the Federal Executive Institute, comprise the subject of the first paper. In the second, a fairly comprehensive view of both problems and strategies for both state and local governments is attempted. The third chapter contains the substance of a lecture given at the University of Alabama in 1969, as part of a series on the public executive. The second section of the booklet contains papers specifically on the Federal Executive Institute. The third section is composed of one essay and embraces the subject of evaluation. (Author/DB)

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EXECUTIVE DEVELOPMENT

And The

FEDERAL EXECUTIVE INSTITUTE

SELECTED PAPERS

By

FRANK P. SHERWOOD

U. S. CIVIL SERVICE COMMISSION
FEDERAL EXECUTIVE INSTITUTE

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INTRODUCTION

As I write this Introduction, the Federal Executive Institute has completed nearly three years of operation.

Though our basic purposes have remained constant over that period of time, the ways in which we have gone about the task of executive development have undergone significant changes. Also, it is fair to say that our knowledge about Federal Executives has increased appreciably. Partly this is a result of simply having experienced a great many executives at the Institute; but perhaps more significantly, the Bureau of Executive Manpower in the Civil Service Commission has developed over these years a very substantial data base on these top leaders.

Thus I believe it fair to say that we know a great deal more today (September, 1971) about our purposes and our approaches than we did when the papers collected in this volume were prepared. They are being published, therefore, not because they reflect the latest thinking at the Institute but because some of the essays are a part of the history of the Federal Government's effort to deal with its needs for executive development. In other cases the papers are included because they provide some insight into the thinking of the Director of the Institute.

This booklet is organized in three basic parts.

The first three essays deal with problems, needs, and theories of executive manpower management. The problems of the Federal Government, as seen from an analysis of a small sample at the Institute, comprise the subject of the first paper. In the second a fairly comprehensive view of both problems and strategies for both state and local governments is attempted. The third chapter, more philosophical, contains the substance of a lecture given at the University of Alabama in 1969 as a part of a series on the public executive.

The second section of the booklet contains papers specifically on the Federal Executive Institute. Chapter IV is in fact a reprint of the text of the brochure issued by the Institute in September, 1970, entitled "FEI 71". It may be regarded as a comprehensive statement of our approaches and philosophies as of that time. The following three chapters represent a year-by-year recording of some

of the Director's ideas about the status of the Institute. All were prepared early in the life of the Institute, within its first two years.

The third section is composed of one essay and embraces the subject of evaluation. It is a summary of an interesting dissertation written by V. Dallas Merrell comparing three executive development programs, of which one is the Federal Executive Institute. Unfortunately, Dr. Merrell's analysis covers only the first two sessions of the Institute. In February, 1971, the National Academy of Public Administration made a major evaluation of the Institute; and any reader wanting a complete insight into the operations of this educational program should certainly review that report. It has been published and is available through the Institute. Other evaluation studies have been made, and it is our plan to collect and publish these documents at a later date.

FRANK P. SHERWOOD
Director

September, 1971
Charlottesville, Virginia

NEEDS FOR EXECUTIVE DEVELOPMENT IN THE FEDERAL SERVICE

"Why should top level career officials require long-term training and development?"

This question is frequently asked. It is an understandable concern. Presumably, men in high level Federal positions with salaries in the $26,000 – $33,000 bracket should require little training in order to perform their tasks with high effectiveness.

Yet many study commissions, as well as individuals, have counseled the wisdom of providing such development opportunities for higher officials. This paper is an attempt to suggest some of the reasons why such training is desirable.

CHANGING ENVIRONMENT AND TECHNOLOGY

Many authors have written that man has never known an environment as turbulent and rapidly changing as that in the United States.

The President has indicated his concern, in several of his speeches, that the Federal administration is not sufficiently responsive to new national needs and emerging programs. To meet Mr. Nixon's requirements, the whole system must become more flexible and adaptive.

In its statement of policy on improving executive management in the Federal government, the Committee for Economic Development made these comments on the changing environment:

1. *The goals of government are increasingly numerous and involved.*

2. *The degree of specialization has increased.*

3. *There are many more kinds of specialists whose work the executive must manage and coordinate.*

An occasional paper, prepared and presented at the Federal Executive Institute in January, 1970.

4. *The constituencies with which the executive is concerned are more vociferous and more powerful.*

5. *The management tools at the federal executive's disposal are ever more sophisticated, efficient, and expensive.*

The problem of operating in situations of rapid change is not restricted to government. The Motorola Executive Institute has characterized a Motorola Executive as a

> *...socio-economic decision-maker ... in a technically advanced company ... in the pluralistic American society of the 60's and beyond. The fact involves him determinedly in a complex role; he is a corporate decision-maker in an industrial society which is at once an economic society, technological society, corporate society, and managerial society.*

To build organizations that will be on top of changing needs, those in leadership positions must *(1) be aware of the changes occurring and (2) be flexible enough themselves to accommodate to them and to lead others.* **This involves the capability to "learn" about crucial events in the society and, secondly, the managerial skill to build organizations that will be institutionally flexible enough to shift directions quickly.**

At the Institute we have found that:

1. *The large majority of executives have had their pre-entry education in specialized professional disciplines. (A survey of 149 executives attending FEI showed that about 70% had technical concentrations in college.)*

2. *Almost all the executives did their academic work 20 years or more ago.*

3. *Relatively few have been exposed to programs that (a) systematically treat the implications of societal changes for government administration; (b) examine the interrelationships of government units in responding to these changes; and (c) include managerial strategies for operating in a dynamic, changing organization rather than a stable, static one.*

The publication, Characteristics of the Federal Executive, based upon analysis of the records of 28,000 executives at the GS-15 level and above, shows:

1. *About 18,000 executives are in occupational categories that are specialized in their role and perspective.*

2. *About 44% of the executives say they need more background in government policy and operations; about one-third say they need more understanding of political, economic, and social problems. Many others, of course, very likely do not know they have these needs.*

These data suggest that most executives in the Federal Service are specialized in their knowledge. As environmental forces tend to intrude from outside of anticipated areas of expertise, there is the question whether executives have been equipped to identify these new requirements and to deal with them. Secondly, an increasing number of programs require multi-agency response, involving the necessity to understand governmental institutions in their broadest sense. Finally, there is the need for new management knowledge. Most of the management textbooks in use today were published in the sixties; and the best ones treat the question how leaders can create adaptive, fast-moving, and changing organizations, not discussed at all in the literature of the fifties.

THE ROLE OF THE FEDERAL EXECUTIVE

While a changing environment creates problems no matter one's original competence, it also must be recognized that *even in the most stable of systems the occupants of leadership roles continuously change.* People move up in the system. As they do, the duties change. Originally they may do all their own work and have little contact outside their immediate work unit. As they move up in the hierarchy, they do less themselves and relate more with elements outside.

The question is whether the executive manpower system has operated in such a way as to prepare Federal career people for the expanded responsibilities they must assume as they rise in the hierarchy.

The highly regarded author on management affairs, John Corson, has pointed out that the characteristics of the job differ at the various points in the hierarchy. At the bottom, professional level it is basically necessary to have knowledge of the substantive field in which one works. At the level of Division Chief or Regional Director, an official must not only master his substantive field but also understand how to direct and work through others, how to relate with other units in pursuing common goals, know enough

about what is happening in the society to assure himself that he is doing the most important things, and be aware of the political institutions of the society in order that he can play a responsible part in their preservation and advancement.

Lawrence Apply, former President of the American Management Association, often commented about the "vital shift," which involved the movement away from doing things one's self to doing things through others.

In effect, there are probably two "shifts" in most government undertakings. The first comes when a person moves into a management role, requiring that he develop supervisory leadership skills. This role is still largely internal, involving management of people, money, and resources within the organization. The second is when he becomes an executive, which typically carries him outside his immediate organization and into a wide range of contacts. He will at this point need even deeper appreciation of the managerial process but will also require more profound awareness of the social and governmental system as a whole. In information terms, he will have to process a great deal more data from a much larger number of sources and have to have the skill to judge its relevance to his operational responsibility.

Thus a person ideally qualified for executive leadership responsibility will need to have experience sufficiently broad to enable him to understand the total context in which he must operate. Generally speaking, he will have had a variety of work experiences; and he will have supplemented his on-the job development with formal training programs that fill the gaps in his experiences. In effect, he will be cosmopolitan in his perspective, rather than parochial.

What is the profile of the Federal Executive?

The data show that:

1. *He has had a long period of government service.*

2. *He has, in most cases, worked only in one agency and often in only one bureau.*

3. *He was educated as a specialist and entered government as a specialist.*

4. *His current responsibilities have typically built upon his specialist background but require broad managerial competences at the present time.*

5. *Neither planned job rotation nor formal training have been utilized in any appreciable degree to prepare him for his present role.*

The analysis of the 28,000 executives in the Inventory shows:

1. *More than half (54%) entered at GS-8 or below.*

2. *42% of the executives who entered at GS-8 or below have never left the government. (It seems to have been their sole place of employment.)*

3. *About 75% of those who have never left government have worked in only one agency at a middle management level or higher.*

4. *62% of the super-grades have been promoted to their present positions from within the same bureau or agency and 78% from within the same department.*

It is more difficult to determine the extent to which formal training has been used as a means of building executive competence. Since needs differ so much, it is almost impossible to construct a questionnaire that will be truly reflective of the degree to which a person has been developed for high level responsibility. To provide some indication of this dimension, inquiries were made of 22 executives who participated in a workshop on the American Federal Executive at the Federal Executive Institute. They seemed to be generally typical of those who have attended the various sessions of the Institute. They are not typical of those in the Executive Inventory because FEI participants are generally younger, better educated, have higher status, and are less close to retirement. The workshop had a slightly heavier representation of national security officials than have been typical at the FEI.

Years of Service. *The average time of service was 20 years, with only three of the 22 having 10 years or less.*

Entrance Level. *Fourteen of the 22 entered at less than GS-12. Sixteen of 22 started in specialist roles.*

Agency Experience. *Seventeen of the 22 had served in only one department or agency.*

The profile of this group is therefore one of early entrance into the government at a relatively low level of responsibility on the basis of specialist competence, long service, and experience in a rather narrow career line in a single department or agency.

An analysis of their formal training shows that six of the 22 reported a substantial degree of activity. In most cases, the experience came through programs of not more than two weeks' duration, largely provided within the agency and through the Civil Service Commission. Three of the 22 reported participation in Brookings seminars. It is interesting that four of the six who had substantial training came from national security agencies. There is also some evidence that training is cumulative, rather than directly job-related. Bearing in mind that virtually all the participants were super-grades, it is striking that length of service tended to be a significant variable in the degree of training experienced. Those with "substantial" training had 26 years of service; those with an "average" amount, 22 years; and those with little or none, 17 years.

Taking into consideration both formal training and interagency job rotation, four models emerged from the group.

1. Immobile — Little Training. *An example is a science administrator who has had nearly 20 years of experience in the Federal Service and has had a considerable amount of technical training but essentially none for his managerial responsibilities.*

2. Immobile — Major Training. *An example of this type is an official of one of the national security units who entered Federal Service in 1952 and has had a wide variety of training experiences, including one year at Harvard for his technical development. He has had a considerable number of management courses.*

3. Mobile — Little Training. *An interesting example of this type is an official who served 25 years in one field installation, where there was very little training opportunity. He then moved to the Bureau of the Budget for two years and is now Comptroller of a significant defense agency. Clearly, he has gained much from his different types of job experiences.*

4. **Mobile – Major Training.** *Only one of the 22 participants fell into this category. He entered in the Social Security Administration, was an intern under Civil Service Commission auspices, returned to HEW, and has more recently been associated with the Department of the Army. He reports a wide variety of training experiences in management disciplines.*

Numerically, 14 of the 22 fall into the first category – with neither broad cross-agency job experience nor substantial formal training. Three have experienced substantial job rotation but little training; and four have had the training but not the job rotation. Only one of the 22, as noted above, had both.

That their tasks have changed seems fairly clear. Where most entered the government as specialists, it can be argued that all now have broad system responsibilities. Though the nature of their roles differs greatly, all saw themselves with executive responsibilities. In their book, Men Near the Top, John Corson and R. Shale Paul suggested that there were three categories of executives, about equally divided in number.

1. **Program Managers,** *who have a product or service to produce. In this analysis, 16 of the 22 participants are placed in this category – well above the finding of Corson and Paul. Included are men who run laboratories, manage programming for the Voice of America, administer regulatory activities for the Department of Agriculture, and manage major grant programs for the National Science Foundation.*

2. **Supporting Staff Managers,** *who function as purveyors of managerial services (as in budget and personnel). This group comprises three, all of whom are in personnel and finance.*

3. **Professionals,** *which involves those who function in an advisory capacity to key officials. Three have been included in this category; but it could be argued that only one executive should be so listed. The other two are involved in program planning and in undertaking special projects for top political executives.*

Thus the impression of the 22 executives in the Workshop is one of significant leadership responsibility. Also, there can be little doubt about

their personal abilities and energies. A number had advanced degrees, and many had taken extra university courses on their own time. Undoubtedly they are performing their tasks in a highly creditable manner. The real question is whether the system has discharged its responsibility to prepare them as well as possible for their executive role. Can their development be left to chance?

The argument of this paper is that the higher one moves in an organization, the more important it is that he have a deep grasp and appreciation of managerial processes and that he bring a broad perspective to these undertakings. Is experience in only one department sufficient to provide that breadth? How much formal job rotation on an interagency basis is necessary? Where rotation is not feasible, to what extent can formal training fill this gap? How much formal management training should the government, as a matter of practice, provide to its executives who have come up specialist career lines?

The problem is not one alone of the Federal government. It occurs in all organizations, and it provides a major justification for executive development. As L. W. Halcomb, Jr., of the Commission on California State Government Organization and Economy, has written about the situation in California,

> *Despite some managerial training at the department level, this hardly recognizes the extreme importance of management training and executive development to an organization where over 90 per cent of the management group are "home grown".*

Halcomb also reported that the problem of "growing executives" was a serious one in California. As of 1965, the Commission concluded that there was a group of 1,500 individuals who exercised truly executive functions. Within 10 years, he said, a larger number than that (1,770) would have to be developed and recruited.

While it is obvious that there will be many people available to take the jobs in the State of California and in the Federal government, it is apparent in both cases that there are limitations on appointment flexibility. All organizations recognize that they must provide reasonable movement upward for their employees. Government is no exception. In addition, the tradition is strong in government to honor a civil service system that gives great emphasis to promotion from within. In both California and in the Federal Service, the percentage of appointments from within the government is about 90 per cent; and in both cases, the great majority is promoted from within the same department.

Even if it were desired to do so, any real relaxation of these arrangements would encounter great resistance, both from within the government and from outside. Beyond that, there is real doubt that lateral entry should be appreciably greater than it is. The present careerists in the government very likely have the highest potential for effective performance as top managers.

Again, the basic question is raised. What is the system requirement to insure that all is done formally to insure that potentially good men are able fully to discharge the responsibilities of their new roles?

THE INDIVIDUAL

Thus far I have discussed two dimensions, the implications of a rapidly changing environment and technology on executive performance and of a changed role for those moving into top leadership positions.

A third perspective involves the individual himself. This consideration is based on the simple proposition that leadership is in large part a result of an individual's approaches and capabilities. Improve his capabilities and he should do better as a leader. This becomes particularly important at higher management levels where an individual may have significant effect on the performance of a major part of the total system.

Most executive development programs have been justified on this ground. There has never been an evaluation, for example, of the 13-week advanced management program at Harvard. Judging from the ever-growing desire to participate in that program, benefits must be occurring. Graduates are promoted and have become highly successful company leaders. In short, preparing leaders is regarded as a cost of doing business; and the real question is not preparation itself but whether the best available program is being utilized.

The government has long been urged to follow the example of business. The statement of policy of the Committee on Economic Development is an example of an oft-stated recommendation:

> *American business enterprise has learned through hard experience the value of good management, and that it is usually the primary factor in competitive success or failure. Recruitment and proper assignment of able people is essential, as we have noted, but there is a continuing need for further development of those with potential for growth in managerial and professional responsibility.*

Top management of progressive business concerns devote persistent attention to strengthening and improving their key people; to finding, grooming, evaluating, and coaching their successors; to eliminating poor performers; and to securing and using the highest quality of supporting specialists. Leading private corporations spend large sums each year on manpower training, with executive development one of the principal aims. They have found that to have sound management they must plan and prepare for it consciously, through training and developing those selected for successive stages of managerial responsibility.

In 1964 the Municipal Manpower Commission, financed by a half-million dollar grant from the Ford Foundation, reported the crucial need for executive development in local governments. Arguing for "continuing growth", the Commission said it was essential in order that the executive might ... "keep abreast of advances in his field, and if [illegible]h is to have a continuing opportunity to learn what others have already [illegible]rned."

There are two obvious cost factors involved in executive development: (a) the direct charge for the program itself; and (b) the services foregone by the agency in view of the executive's absence.

With regard to the second cost factor, it is clearly difficult to calculate the true burden to the agency. Executives at the FEI are not typically replaced during their absence; most frequently, their deputies assume additional tasks. Others also cover during the boss' absence. Such a situation could obviously not continue indefinitely, but the period of two months is short enough to permit this kind of arrangement.

Where there is no depth in the organization, that is, no deputy or other person who can make decisions during the boss' absence, there are clearly serious problems. This is often the case in local governments, where management depth is very thin indeed. It also seems to occur in the smaller federal agencies.

There have been concerns expressed that the existence of the Federal Executive Institute (which normally enrolls 60 executives throughout the year) means the withdrawal of 60 man years of executive time from the government. However, the proposition should be turned around. There is no withdrawal of man years; it is really a matter of reassignment for two months to a task of high priority. The provision of executive development, as well as other training, is a cost of doing business and must be reflected in the total staffing pattern.

This leads to a query as to the amount of time an executive should devote to development. In the military the figure is said to involve about two years of formal training during a projected 20 years of service. In the foreign service, the figure is said to be six to nine months, not regarded as long enough to many observers. In other branches of the government, very considerable technical training is provided. However, the reports of the 22 executives indicate how relatively seldom it is that a top civilian employee has been exposed to systematic and profound training for his executive tasks.

How big an investment is the two months at the Federal Executive Institute in terms of the working life of the executive?

Setting aside the past (in which there has been little executive development) and looking only to the future, it should first be noted that the average participant at the FEI will very likely serve the government for another 10 years. This prediction is based on his age (47) and his years of service (23) and the conditions of retirement, 30 years of service and at least 55 years of age. It is our estimate that the combination for the average FEI executive will require about 10 additional years of service. If these predictions are correct, the investment of time involves less than two per cent of the individual executive's remaining work period. In my view it would be certainly appropriate to program about three per cent of an executive's time, about four months, for development over the projected 10 year span of service.

As to costs directly attributable to the experience at the FEI, it should be noted that the fees charged for the program amount to slightly over one per cent of the total compensation (including fringe benefits) the government will likely pay the average executive in the next 10 years, at present dollar levels.

CONCLUSION

In effect, I have argued in this paper that there are three basic factors which may justify executive development in the Federal Service: (a) a changed environment and technology; (b) a changed job; and (c) a changed man.

In the *first* instance, there is recognition that this is a turbulent society, in which both the tasks and the techniques for dealing with them are in rapid change. Everyone in a leadership role needs help in keeping up with the times. This is particularly imperative in the governments of the United States, where changing social and environmental conditions require responses by flexible and adaptive organizations.

Second, the Federal Service is characterized by high specialization. Typically, the future leaders of the system enter because of their technical capabilities and advance to higher levels as their professional competences are demonstrated. When they reach the higher levels of the government, however, their tasks range far beyond the discipline they learned in college and practiced in their early years. It often involves executive oversight of large organizations, complex relationships with other administrative units of government, and a role in the maintenance of a vital and enduring social and political system. Their executive responsibility demands more than substantive, disciplinary training.

A *third* consideration is simply that leadership is, after all, personal. If an educational experience will cause an executive to be more effective as a person, the organization he serves will benefit. Theoretically, the higher the level of responsibility the less change in the individual is required to have profound organizational effect. Put another way, top executives perhaps should engage in more training than anyone else because their actions can have significant consequence. It has been suggested above that a standard might properly be set for the training investment as 3 per cent of total work time. Thus, when an executive has a projected working life of ten more years, it is suggested that there be a planned executive development investment of four months. By this standard the period spent at the Federal Executive Institute would be amortized with about five years of additional service.

STATE AND LOCAL ISSUES
AND
TRAINING NEEDS FOR THE 70'S

Any examination of training needs in state and local governments must begin with a recognition of the conditions in which the society finds itself today. On every front our governmental institutions are being challenged – in terms of their viability, their relevance, their very utility. It is a time that demands the very best of all governments.

It is also a time when there is a profound feeling in this country, shared by both political parties, that a monolithic structure can not truly minister to the needs of this complex society. We talk now of incentive systems, a shorthand way of saying that problems can probably be solved best by those who will experience the rewards of resolution or the penalties for failure to do so. President Nixon's administration has taken some rather positive steps to "reverse the flow of power" from Washington back to the places where the problems are. From the Family Assistance Plan to revenue-sharing, an effort is being made to get the action down to where the problem is.

As Secretary of Labor George Shultz said at the University of Chicago:

Liberals and conservatives agree on the need for a new fairness in American life ...

Liberals and conservatives agree on the need for selective decentralization of government ...

Liberals and conservatives agree on a reform of our institutions that makes the setting of national standards a national affair and makes the detailed administration of government programs a very local affair.

The New Federalism broadens and deepens these areas of agreement. In essence, the New Federalism calls upon us to act as one nation in setting the standards of fairness, and then act as congeries of communities in carrying out those standards. We are nationalizing equity as we localize control, while retaining

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A lecture presented to the State and Local Training Symposium, College Park, Maryland, May 1970.

a federal stewardship to insure that national standards are attained.

In the area of manpower training, Secretary Shultz has pioneered a major effort to move a 3 billion dollar program out of Washington. While national funding is required to meet these requirements, he says that "most labor markets are local in scope – this is where the action is and this is where the best judgement concerning the use of resources should be." The government will provide money to state and local governments, as well as private sponsors, as they " ... develop the means to put these programs into action."

Though some will disagree with me, I believe the philosophical tide is really running toward a more diversified system, as Secretary Shultz suggests. I might say, too, that those who are working in the field of technical assistance and foreign aid are becoming increasingly convinced that the basic propositions outlined by the Secretary of Labor have applicability on a very broad front. The tremendous accomplishments of Yugoslavia, operating on a quite decentralized basis, have not gone unobserved.

Thus state and local governments are experiencing a new visibility. Not far below the surface is threat as well as challenge. Local governments, in particular, are area governments. They are organized quite differently from the Federal government, which is functionally organized and which tends to value program accomplishment rather than institutional viability. In the days of President Johnson's "Creative Federalism" there was a particular disregard of traditional, insitutional considerations as Federal program managers sought to achieve national objectives through a great variety of local instrumentalities. Daniel P. Moynihan, though no great friend of many of those Johnson programs, has made it clear that he would like to move from a "monopoly service strategy," as has been typified by many of the earmarked grant programs to a "market strategy," where recipients may choose from competing suppliers of services. We may note, too, that Secretary Shultz talked about "private sponsors," as well as state and local governments, to serve as instruments for the achievement of manpower training objectives.

There is the potential in all this of extreme change in the nature of many of our government institutions. A very possible casualty is the area-wide, multiple purpose unit of government, which, contrary to many of our popular beliefs, is not as firmly ensconced in our state and national value systems as might be supposed. While certain of our institutions clearly need reform, I think it crucial that potentially worthy institutions not be abandoned because we somehow have failed to give them the necessary vision, the imagination, and in some cases the resources to fulfill their obligations.

MAINTAINING A PERSPECTIVE ON TRAINING PAYOFFS, NEEDS AND RESOURCES

Having begun this paper with a predictable call for more concern about the fate of state and local governments, it needs to be said early that training must not be oversold as an answer to these problems. I want to make the point for two reasons:

1. *It is quite apparent that sufficient numbers of highly effective people with an organization is a function of far more than the training activity; and*

2. *There is a tendency to think of training in very narrow terms, specifically as that set of formal programs that occur outside the work situation. Most learning must inevitably occur on the job; and that is why the quality of leadership and the planned rotation of assignments are far more crucial factors in any overall training strategy than is the formal off-the-job effort.*

It is possible, for example, that present resources are already greater than perceived requirements. Almost every training program I know that has been designed for state and local people has been under-subscribed. Most recently, I noticed in the Newsletter of the International City Management Association that only 22 attended the Association's Advanced Management Training Program at the University of Iowa. Many more could have been accommodated for what appeared to be a very exciting undertaking; indeed, all previous participants in that program were invited to return for an educational experience with a wholly new format.

Obviously, there are far more basic problems involved than the simple offering of courses and programs. Since I will want to return to this question, it is perhaps sufficient to say at this point that even our use of the term, "training needs," tends to set us in the wrong direction. We ought to emphasize self-discovery; a big step toward improvement has been taken when individuals and/or organizations have identified their own growth opportunities. We have gotten into the rut of talking about training needs because we have viewed the learning process in far too dependent, mechanistic terms. A dynamic process, beginning with self-awareness, would make the definition of need an integral part of the learning. In making these comments, I hope it is clear that I am talking about behaviors in organizations that are more complex than mechanical skills. The teaching of the use of the typewriter is one thing; the development of a motivated, skillful secretary is quite another.

In these opening comments, I believe it is also important to consider the resources currently operating in the world of state and local government. As you know, they are very considerable.

Much is done in the universities to prepare people for their first job in society. This is the pre-entry activity; and this is where the great bulk of the resources of the universities go. This very major expenditure of resources has apparently resulted in an inequitable distribution of educated manpower (those with bachelor's degrees or higher) between the Federal and the state and local governments. Where virtually all the 28,000 top people in the Federal executive group have bachelor's degrees, the ratio is much less in the other units of government. In California, Randy Hamilton has reported that "No more than 40% of the city and county administrators, department heads, and other chief administrators in California local governments possess a bachelor's degree." He also reported that only about 35% of those appointed city managers throughout the United States have a four-year degree. Thus it appears that our tremendous expenditures of funds for pre-entry education are not serving all our units of government in the same degree.

Resource problems become more serious, however, when we look at the post-entry situation. In this case, the situation does not differ among the governments. We are putting our big educational investment in the first job, despite the fact that not only do roles change as one moves through a career but obsolescence in the technical areas is occurring at an increasingly rapid rate. At the Federal Executive Institute we have found that most of our participants, with an average age of 47, have not attended a college course in more than 20 years. Hamilton has reported that, of the department heads in California local governments who held bachelor's degrees or higher, at least 60% received their last degree a generation or more ago.

To the extent that the governments have responded to these problems within their own organizational framework, the effort has been in the technical areas. That has generally been true in the Federal government; in local governments I have little doubt that almost all resources have gone into training police and firemen.

While Title I of the Education Act has resulted in a heightened interest of the colleges and universities in post-entry education and training, the general attitude is probably little changed from that stated by Ward Stewart and John C. Honey in 1966. They pointed out that post-entry programs were usually short in duration and could be " ... disruptive of regular academic schedules." Further they implied that there was little the universities could gain from the relationship with public officials:

The executive is a student; the instructor is offering what he knows. Although almost every teacher learns from his students, it is probably that the universities should not look to contacts with their classes of executives for a substantial increase in their empirical knowledge. The relationships are not correct to make this a major residual.

Further, it is likely that the most efforts of the universities in the past few years will be further reduced by the lack of Title I funds. The Administration has decided not to recommend the funding of this program of in-service training, though there is some indication Congress may think otherwise.

As one surveys the training landscape, he cannot fail to observe the way in which present education and training resources are being utilized. There is a heavy emphasis on pre-entry activity, which apparently works to the interest of the Federal government. Furthermore, all units of government are affected by the apparent unwillingness of existing educational institutions to put more of their resources into post-entry education and training. When we talk about needs, therefore, we have to ask questions about the present utilization of learning resources.

NEEDED: A THEORY OF PUBLIC SERVICE TRAINING

As I have perhaps already indicated, I have a deep concern with the tendency to conceive of training in overly simple terms. For example, in a recent report on training and manpower needs in one state, the statement was made that there were three strategies for responding to the ever-increasing demands on governments: *(a) increase the number of people employed; (b) lower the level of services; or (c) improve the capability of present employees to perform, thereby gaining more bang for a buck.* If we had a firm idea about what training would achieve higher productivity on a predictable basis, training would likely be the economic answer. The fact, however, is that no one knows how to pull the magic lever. In fact, in the study mentioned above, each of the levels of government had quite different perceptions of their training needs. Overall, they rated general management training as a low priority requirement – far different from my perception.

As a result of linking training to productivity increases, short run goals are typically honored. Most training policies insist that the experience be job-related. Not only does this short-change the future by concentrating on the present, it also minimizes the importance of the individual employee. Bear in mind that behavior in a position is a function of the expectations

directed toward an individual by the organization and of his personal capability to process and respond to those demands. Even in the lowest-level jobs, there is a significant individual component to job performance. Who but the individual can really ascertain his needs and opportunities for growth?

Further, as responsibility in the organization increases, it becomes increasingly difficult to separate role and individual personality. How organization expectations are processed and the game plan developed are very much outcomes of the individual personality. I think the superficial testing of relevance by job title, e.g. public works directors go to public works courses, fails to recognize the extreme ambiguity present in all but the most mechanical jobs.

Ultimately, governments are also going to have to recognize that the changing values of the society must be reflected in training policies. In a society that is affluent enough to allow individuals to judge participation in an organization in more than the purest hygienic terms, there will be no patience with criteria that emphasize only organizational benefit. Young people today, far more than their parents, look at jobs in terms of their opportunities for growth and challenge. They expect to find formal policies that include the obligation to provide opportunities for personal development, individually-defined. If state and local governments fail to meet this demand, I fear that only the less interesting and relatively unexciting young people will find their way into the organization. The creativity and innovation will come from elsewhere in the society – to the great detriment of our governmental system.

I hope I have made my point clear. This symposium must face the cultural reality that training needs exist in our state and local governments simply because good and exciting people always have needs to grow as individuals. We do not have to prove that their satisfaction will have any direct, organizational result.

While it may seem that I am arguing the existence of a conflict between individual and organizational interest, that is not true. I wish only to stress a point. In my own view, there is an important temporal dimension of training. Development activity is most constructive when it looks to the future, to change, and to growth. Undertakings framed in this temporal perspective will have far more organizational consequence than immediate, shotgun activity.

The goals of training set the frame of reference for its evaluation. If we are seeking to help individuals grow, then only the individual can make the judgement as to the value of the training. If the purpose is to improve

the performance of the organization, we must not delude ourselves that a modest investment in sending one or two people to a special "out-of-house" training program is going to have earth shattering consequences. To have organizational impact, the whole organization must become the object of the training effort.

Thus, a training philosophy must recognize that there is individual development and there is organization development. If we are in fact committed to the change of an organization, we have to be willing to commit the resources necessary to affect that organization and its customary ways of doing business. Conversely, we must recognize that the singling out of an individual for development must be regarded as an investment in that individual; and its value has to be established in individual, rather than organizational, terms.

Today, it is my view that much training is relevant neither to the indidivual nor to the organization. In considerable measure, it is useless. The reason, at least in part, is that we have not been clear about objectives. The focus has been on the individual and the design has been in terms of the organization. There has been no satisfaction on either count. The individual has found that his needs have been dominated by organization interests; but the one-shot, individualistic approach has afforded little result in the organization and, in some cases, has been counterproductive.

If you examine the literature of training, you will find that virtually all the concern is with individuals. It is as if we do not function in an organizational context! When we talk of training needs, we speak of individual jobs ... the need for engineers, city managers, planners, etc. We have no real way to talk about teams of people, either to measure requirements for team performance or to measure their effectiveness. The increasing interdependence within organizations and among organizations has scarcely been recognized in our approaches to training.

As we examine the relevance of present training policies and approaches to organizational needs, we obviously have to ask a basic question. What is the problem anyway? What ails our organizations, if anything? If one were to approach training from the viewpoint of Frederick W. Taylor, the father of scientific management, it would have essentially a conservation function. Taylor defined the "one best way" to do a job; and the need was to make sure everyone did it that way. More than I think we realize, the thrust of much specialized training in our governments (and I suspect this is more evident in police than elsewhere) is conservation – to socialize employees into the organization's way of doing things.

Alternatively, training can have change as its purpose. If we assume that people are essentially pre-disposed to change and that knowledge is available to help them move in certain desired directions, training with change as a goal may properly focus on skills. Somebody who knows helps someone who doesn't but wants to learn. That, it seems to me, is the easy situation; and it is very comfortable to concentrate on these highly favorable learning situations.

Assume, however, a more common circumstance: resistance to change in organizations. Add to that an increasingly turbulent environment in which the "what to do" question becomes more crucial than the "how to do." Mix in a substantial component of "pluralistic ignorance." And then ask what the role and thrust of training should be. I suggest that is the increasingly more common situation: a need to focus training on change but in an unknown direction and at an uncertain tempo. In this circumstance the attitude becomes critical. We have to accept conditions of environmental turbulence, the temporariness of any given response and its mechanism, and the basic biologic requirement that we adapt and cope. Further, we must recognize that adaptation involves continuous learning – a process in which each member of the organization has an obligation to engage.

If my propositions are valid, a substantial portion of training policies and approaches should be re-oriented. Training activities that have conservation as a goal should be minimized, primarily because they tend to honor a stability value that I think is no longer realistic. Skill programs certainly have a place; but we must not delude ourselves as to their consequence and ultimate impact in the organization. Beyond the most routine job, the willingness to accept change and to seek growth within it are the values and attitudes the organization should seek to develop.

The Municipal Manpower Commission popularized the concept of APT jobs (administrative, professional, technical) on the apparent assumption that each category required special attention. While this may be true in pre-entry education and recruiting, I do not think the categories are particularly meaningful in post-entry training and education. My experience at the Federal Executive Institute has simply reinforced my belief that our specialized systems at all levels of government have resulted in a highly diffused leadership structure. All these talented people have responsibilities to provide leadership; and it is a basic organization requirement that they feel obligated to do so. To put it another way, each of us in an organization has a share of the leadership responsibility. Our training programs should emphasize that role.

These considerations also have their implications for training methodology. Organizations will require people at all levels who take responsibility

for their own actions and who do so with a full appreciation of their interdependent relationships and system obligations. Each one must respond to his own situation. The learning required, then, is how to live in a condition of responsible freedom. It also involves skills in learning how to learn as an adult.

Though we talk much about adult education, the fact is that most of our in-service training is conducted exactly like a high school class. An expert is put at the head of the room, expected to convey his information to the less informed, and to take responsibility for the transmission process. The vehicle of communication is typically a lecture – generally judged the worst possible way to get across information. But far more important is the fact that this traditional approach to learning reinforces behaviors that I believe are antithetical to effective performance in an organization. The training ought to emphasize the assumption of responsibility for the learning, the implications of interdependency, the ambiguity of data as it applies to a given situation, and the requirements for efficiency in the adult learning process.

In my view we ought to utilize training methods that are consistent with, and supportive of, the types of behaviors we seek to secure in the organization.

As I hope I have indicated in the pages of this section of the paper, I believe we have to have a philosophical framework within which to approach the problems of training in state and local government. While I naturally have an attachment to my ideas, I am more concerned that assumptions be made explicit. I do not think there has been enough theorizing about these questions. And I am afraid that in many cases I suspect motives. Training programs are often conceived as window dressing. It is high time we ask questions about relevance, quality, and cost utility.

In the remainder of this paper, I want to deal with two basic questions: *(a) Are there special problems at the state and local level? and (b) Is there anything that can be said about needs that will suggest a strategy of response?*

SPECIAL PROBLEMS OF STATE AND LOCAL GOVERNMENTS WITH TRAINING IMPLICATIONS

Quite clearly, state and local governments are themselves a special problem because of their institutional significance to our political system. Of all organizations in this highly pluralistic society, it is particularly necessary that (1) they identify, and do, tasks that need doing in the society; (2) they work

together on common problems, as a means of preserving our pluralism; and (3) they be functionally effective in what they do do. In short we need viable units in a total, highly interdependent governmental system.

It is obvious, of course, that many factors will enter into the achievement of the goals I have outlined. Nevertheless it is apparent that some areas will have greater training implications than others. Training can do relatively little, for example, to raise more cash for governmental operations.

It is common knowledge that our state and local governments are badly fragmented – how extensively is virtually beyond our comprehension. In many respects such diversity (and even redundancy) can be a real advantage; indeed, scholarly writing is emerging that is making exactly this point. But such disparate units must function within a system context. We need to do much more to build a sense of collaboration as a means of securing system-supportive responses, rather than hierarchically-ordained coordination.

Within each state and local government roughly similar problems exist. In most cases there has been a long tradition of separatism among departments. Witness the virtual impossibility of merging police and fire units, despite the emergence in the last two decades of technological capabilities that should lead to totally different organizing strategies. There is high competition, rather than collaboration, among these various units. My favorite story about this ruinous type of competition occurred in a large city's training program, which I was privileged to conduct. The topic of discussion was the consolidation of the city's communications network. Not until the two main protagonists in that conflict met in the training situation had they had a face-to-face discussion of the issues! As the nature of our governments' tasks change (in pollution, for example), we are going to have to unlearn our lessons about organizational clarity and learn new ones about collaboration, temporariness, and informal association.

Closely allied to these considerations is the urgent necessity to take full advantage of the technologies available, including those of a managerial nature, in the conduct of the public's business. Several years ago I participated in a seminar looking to the application of systems theory and procedure to urban problems. We heard several outstanding practitioners of this somewhat mystic area of expertise; and then the local officials were asked about its feasibility in their governments. First, there was the stark realization that systems analysis is darned expensive; beyond that, however, the point that impressed me was their feeling they lacked the required personnel of quality. The systems man is a methodologist; he depends on a savvy person within the system to tell him what its functions are, constraints to be

honored, and boundaries to be established. The officials in that seminar very honestly doubted they could furnish the people to hold up their end of the relationship.

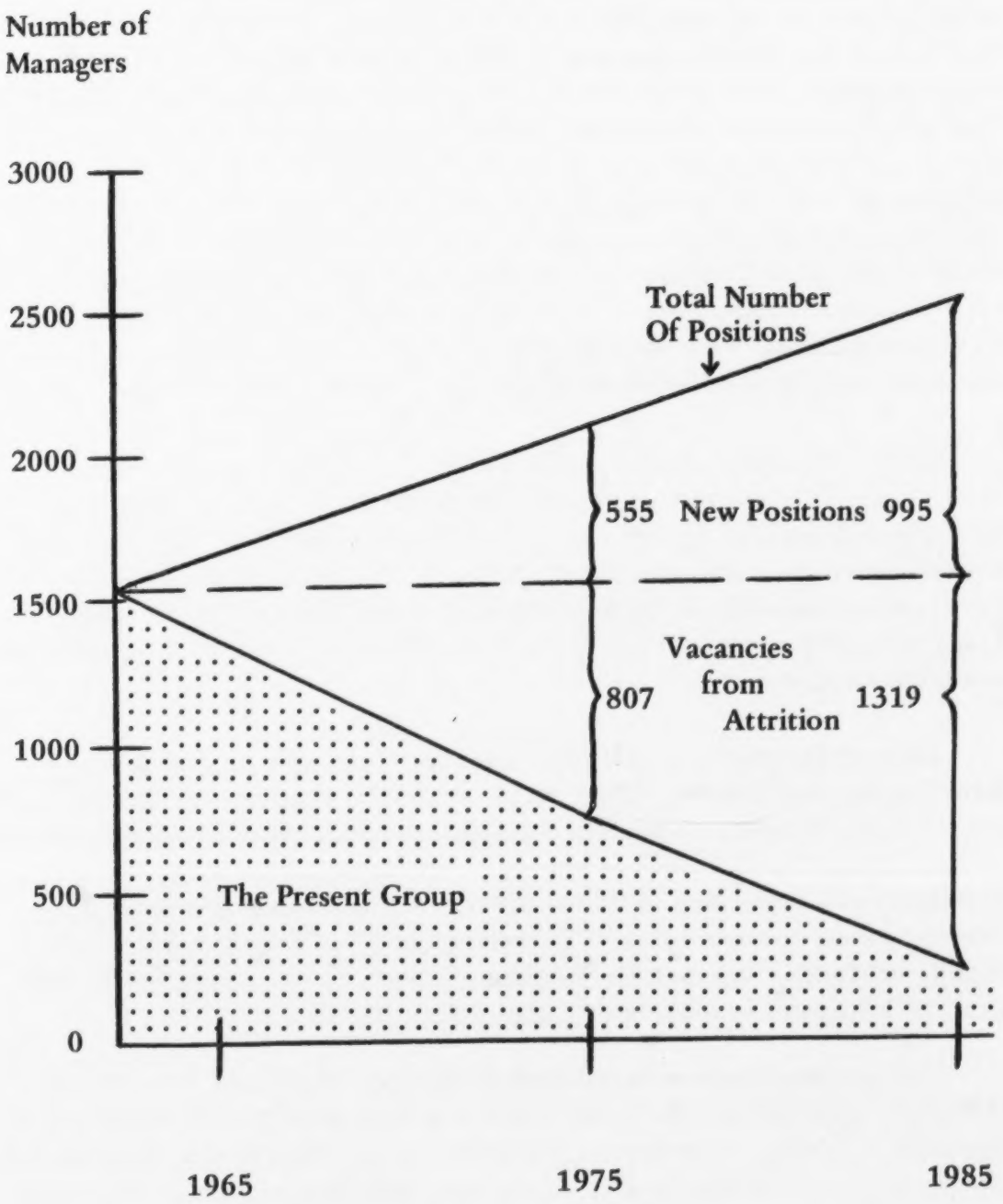
In a somewhat similar vein I was involved several years ago in an effort to do research on the installation of a computer-driven integrated information system in a medium size municipality (roughly 100,000). After about a year of research, the project had reached such a point of public controversy that it surfaced in an election and probably resulted in the defeat of a councilman. Shortly after the new council took office, the project was jettisoned. It happened I was also consulting at that time at a large Naval installation, where computers were clearly not a subject of debate and were making major technical and managerial contributions. I must confess that the contrast has often troubled me. Let me make it clear, too, that the employees of that city did not want the computer system. It threatened them. It was not a case simply of an uninformed citizenry making a bad decision.

Howard Gardner, the long-time, very able Deputy Executive Director of the League of California Cities, has often said that the most pressing need of local governments is a research and development capability. I agree, though I think one might insert the word "applied." The research and development needs come essentially in taking advantage of the "state of the art" already being utilized in various of our enterprises. That, in part, can be regarded as a training requirement.

General manpower problems in state and local governments inevitably have training implications. There seems agreement that we are not now securing the kinds of talent we need in these governments. With heavy retirements and a continued unfavorable recruiting environment, there is considerable possibility of a worsening of that situation. But obviously this is not all. State and local government is a "growth industry" in a society which is rapidly urbanizing and metropolitanizing. This is no news to anybody, and there is little point in reciting the usual dreary statistics about it.

The picture, however, is not entirely dismal. In the Los Angeles area I think local governments have continued to attract good people because they not only pay competitive salaries, but a number of them have also assiduously sought to provide a climate of development. This basically involves constructing situations where jobs have real challenge; and it also has meant more interest in formal training and education, more liberal tuition reimbursement policies, and more willingness to bend the bureaucratic rules to adjust to individual development requirements. In some degree at least, these cities have used training – conceived in a broad sense – to attract able people into government service.

The Top Management Gap in California



From Commission on California State Government Organizations and Economy, Management Manpower Requirements (Sacramento: California, Office of State Printing, 1966), p. 22.

Obviously the quality of leadership in an organization depends on the general condition of its human resources; it is also clear that there are reciprocal factors at work. Leaders can seldom rise much above the people in their system; conversely, good people can be turned off by poor performance in the top jobs. If there is a real role for the man at the top of a hierarchy, it is to serve as a model of behavior for those in the system. If he wants a learning and growing organization, he must himself be a person who seeks individual growth and learning. He has to behave in terms of what he wants for the organization. In his 1966 survey Randy Hamilton found only one city manager who said he needed leadership training. Granted that the concept of leadership training is highly nebulous, Hamilton's point still squared generally with my own experiences. I have found that local government leaders, in particular, have had relatively little interest in examining profoundly the implications of leadership responsibility. Generally speaking, they have not been interested in training and regard it as good for someone below them in the hierarchy.

They are more interested in the "quick fix." "Give me the message, boy. I haven't much time."

Though there are plenty of problems in the Federal government, I see a substantially greater concern with concepts of leadership; and this is bound to have its long-run consequences.

Many years ago, John Pfiffner and I did a piece, entitled "The 90 Percent of Public Relations." The burden of our message was that some organizations are more open than others; and, as the degree of that openness increases, public relations becomes more and more a matter of what you do, rather than what you say you do. We used city governments as examples of extremely open organizations, the refuse collector and the police officer being in particularly heavy transaction with the community. Today I think we might amend these comments to specify the core cities as being particularly of this character.

Much of what goes on at the Federal, the state, and even the county level is pretty much removed from public view. We may in some ultimate way experience the output, but we are not a part of the "process," as we are in traffic regulation. In short, some activities of government have more consequence for the health of the political system than others. I don't suppose I could develop any substantial alienation as a result of the performance of the Defense Supply Agency, though it is a very big employer

and spender. Though each level of government engages in activities which profoundly affect the citizen as participant and as subject, I suspect that our local urban agencies are the most critical. This makes it important to the society as a whole that persons occupying these boundary positions be aware fully of the impact of their behaviors. Here is a case, then, where the action is local but the implications societal.

Finally, state and local governments tend to have special obligations as employers. The raw numbers are impressive; the Federal government has roughly 3 million civilian employees, the state and local governments about 9 million. When I participated in a little study of government as an employer of the last resort, it was clear that the employing unit in such a proposed program would undoubtedly be local government. Though the Federal government might put up the money, the undone tasks were in our communities. It hardly need be said that strikes of refuse collectors, police officers, and school teachers are very likely more consequential to the average citizen then virtually any strike called in the private sector. Within the area in which they occur, they are likely more significant to life quality than the Postal strike or the "sick-out" at FAA. As these governments assume increased significance as employers, it is quite apparent that their total, managerial environment takes on added importance. Training and development obviously have a role in creating a situation where employee organizations are recognized as a fact of life and where they are expected to participate actively in creating conditions of work. Our organizations are no longer monolithic. No one is truly in command; and the more we can come to understand that reality, the more likely it is that we will be able to develop useful patterns of cooperation.

CONCLUSION: A COMMENT ON RESPONSE STRATEGIES

Any recitation of problems must end with some consideration of strategy. What is essentially needed to secure the resolution of these problems?

It would be a great mistake to assume that the answer lies in simply more formal training courses, as I have emphasized earlier. As I also indicated, many courses are already undersubscribed. Nor is it, then, simply a matter of redirecting resources from pre-entry education to post-entry development activity. If this were the case, I would be content to stop the paper at this point.

Clearly, there must be an infra-structure within which formal post-entry training – which I take to be the basic concern of this symposium – can function. As I see it, there are at least three infra-structure requisites that must form the foundation for any substantial expansion in training activity: (a) an attitudinal shift on the part of state and local government management; (b) staffing patterns that recognize training as a continuing cost of doing business; and (c) training personnel and technologies that will insure the time spent produces adequate rewards.

With regard to the first point, we still have big problems in gaining legitimacy for training and development. Examples of this problem are really too numerous to mention, many of them going back to my comments on the need for a training philosophy. We once sent a questionnaire to councilmen, in which they were asked how they would regard additional training for their manager. The typical answer was he shouldn't need any more training; the city ought to pay enough to get a man already qualified for his job.

Because of questions about our legitimacy, most of us in training are scared to death. We all run "happiness polls" and proclaim success if we avoided irritations. Conditions are not such as to encourage the taking of risks; and I think this is particularly true as we move higher up the ladder, toward the more ambiguous jobs. In one large city I was never invited back to lead a program, at least partly because I had the participants prepare some "in-house" case studies. They were marvelous learning experiences but were regarded by the top brass as "washing our dirty linen in public." The cases were never published; I was as close to the only "outsider" who ever knew about those cases.

Because training and development have not yet achieved a real legitimacy, it is almost inevitable that most governments do not take them into account in establishing staff requirements. It is <u>not</u> possible to engage in an extensive training and development activity without substantial personnel costs. Randy Hamilton has applied a neat label to what I am suggesting. He calls it, "105% of TO." His assumption is that approximately 5 per cent of the staff should be in training at any given time. An agency conscientiously establishes its staffing requirements to perform its mission and then adds 5 per cent to that figure to account for its training requirements. Some agencies do that in the Federal government, and I can tell you it makes a major difference in the quality of men we see at the Federal Executive Institute, their personal

motivation, and their freedom to devote themselves to their personal tasks.

Very commonly, training and development opportunities go to the "most available" person. His job may be unimportant or he may be beyond hope as an individual. Neely Gardner, who served with great distinction as Training Officer of the State of California, has often said that he thinks some agencies hire people just to go to training programs. That, of course, is quite different from "105% of TO." Neely was talking about the same people continually recycling into training. That is why I charged earlier that many governments seem to see training as a window dressing; and we get very little bang for the bucks we do spend.

There is another implication of this failure to recognize training as a legitimate operating requirement. From it rises the insistence on very short programs, one day preferably and two to three days if absolutely necessary. This is understandable because the whole venture is seen as time away from the job. It is not viewed as a regularized, programmed activity and cannot be so seen with inadequate staff. I have made the statement publicly several times that, even with funding from an Intergovernmental Manpower Act, I doubt that we will be able to enroll any number of city managers of an acceptable level of responsibility at the Federal Executive Institute's eight-week course. So far no one has disputed me.

Even if some of the problems mentioned in the immediately preceding paragraphs were quickly resolved, we face another type of resource difficulty. There are shockingly few qualified training people in this country. Nor are technologies widely shared and understood.

Ideally, a training man should have some specific skills and knowledge. He should know how to (a) identify needs; (b) build resouces; and (c) match the two. He should have a real skill in working in groups, including ability to perform as a consultant. His knowledge of the social sciences generally and organization behavior in particular should be substantial. Though it may be unfair, I seem to have encountered three types of trainers, each of them with serious shortcomings in terms of the model I have suggested. There are (a) the academic people who simply work the one kind of training method they know; and (b) the training managers who allow someone else to identify the needs and then seek the outside authority figures who are supposed to know. In terms of

what I noted earlier about a wholly different process of training and development at the post-entry level, none of these people fills the bill.

If the requirements for leadership of the training activity are as demanding as I think they are, then it will be necessary to accord these positions much higher status than they now command in most organizations. Typically, the training officer is a low-paid subordinate of the personnel officer, who is himself not regarded as all that important. It is idle to talk about a career in training, or even a substantial investment in a first career prior to general management responsibility, as long as the organization rewards are so limited. The same thing is true in universities. Trainers are second-rate citizens. Even if they have the PhD, they don't do the writing – still the easiest avenue to success in academia.

In short, we have two problems. We don't possess the skilled manpower to mount sophisticated training programs. And even if we did, the skilled ones likely would not stay at the task long because the rewards are so slim.

There are other problems of building a training infra-structure, part of which might be resolved by an infusion of money. As far as I can see, there is no real training "community," with the result that experience is not easily or quickly shared. A clearinghouse might help on that. There are obvious problems of research and development, the most pressing probably being in the evaluation area. Until some of the philosophical questions can be addressed and functions stated, however, I despair of any real progress on the evaluation front. I am not particularly enthused about big expenditures in the field of materials development; I believe there is too great a risk of taking the responsibility for the learning away from those who must basically assume it. In general, an infusion of money could probably provide a modest increment of improvement in performance; but I count that as less immediately promising than getting at some of the questions to which I have given the bulk of my attention in this paper.

THE "NOW" OF EXECUTIVE LEADERSHIP:
CONTINUING EDUCATION AND DEVELOPMENT

Elsewhere I have advanced the argument that a swift-moving society cannot view the educational process in static terms. This is particularly true of its leaders, who affect so much of the total system.

We are facing real imperatives today that will not await the arrival of a new crop of young people from our pre-entry programs in the colleges. In effect, we cannot allow the 35-year-old to "retire." It is an institutional obligation to see to it that our scarce human resources are capable of coping with today's problems.

In this time of increasing complexity and specialization, when leadership skills are most in demand, we find that most people who now occupy positions of public leadership have had little, if any, formal preparation for their responsibilities. In all our large governmental units – federal, state, local – the pattern of leadership recruitment is the same. The route to the top is a specialized, technical one. In no systematic way do we help build the understanding and competences – e.g. dealing with vastly expanded and specialized forms of information from the environment, working with an increasing variety of governmental units at all levels, and knowing how to make one's leadership felt in the human system – that are required at the top executive level.

At the Federal Executive Institute we have enrolled a number of people in the highly placed managerial roles who have never had a formal exposure to the most basic concepts of management, not to mention elementary social science notions that may help them to work more effectively with people. Furthermore, few have an awareness of their larger public leadership responsibilities. Many, in fact, do not regard themselves as leaders. Nor can it be said that insights are secured through a variety of job experiences. As I reported elsewhere, by far the great majority of top Federal executives have never worked at a major level of responsibility in any other department of the government.

It appears that we are now beginning to realize as a nation that there are no simple organizational answers to our complex problems. To meet our varied needs, we need a vast array of government organizations – all

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A lecture given at the Southern Regional Training Program, University of Alabama, November, 1969.

functioning effectively. In his State of the Union message in January 1970, President Richard M. Nixon declared that the only significant increase in appropriations he was proposing for 1970-71 involved grants-in-aid to the cities and states to develop a more adequate criminal justice system. Here is a good example of the way in which the promotion of the national interest has become increasingly dependent on the capabilities of other levels of government. Yet I know few state and local people who really understand the operation of the national government; and a survey of a representative sample of executives at the Federal Executive Institute showed that only six per cent of them had had any experience with grants-in-aid programs, now about a $20 billion item in the Federal budget.

There is also a "cultural lag" operating. Despite all the necessities for training, only the most glaring of which I have identified above, it is still looked upon as a frill by many executives and legislators. And, as the purpose of the training becomes less mechanistic and directed toward leadership, the skepticism increases. City councils, for example, are typically hostile to any extended training assignment for the city manager (and a week is seen as a long time) because he is expected to have had the required competences when he came on the job. No matter that the urban world is changing rapidly. No matter that he got his graduate degree more than two decades ago. He is supposed to know. Very likely there is a kind of love-hate dynamic operating here. The lay legislator prizes the expertise of the career executive, but he also worries that more of it will work to expand the power of the career man.

Thus far, I have been dealing only with immediate issues. There are forces, currently observable, which will undoubtedly require even greater attention to continuing education in the future. One of these involves the changing nature of organizations themselves. As they become more complex and less amenable to a simple command strategy, responsible behavior by the individuals in them assumes increasing significance. Thus old tests of organizationally-relevant training become less useful. In today's and tomorrow's organizations, we must assume that the more effective the individual is, the greater the likelihood that the organization is performing better. Thus it will become less and less important to test the value of a training experience in terms of its observable consequence to the immediate work situation and more vital to measure it in terms of individual impact.

Another trend also emphasizes the increasing significance of the individual in training and development. As I mentioned earlier, opportunities for growth are regarded increasingly as a fringe benefit. In this sense it is not necessary to show job relevance at all; development is a part of the package of benefits an employee expects. Later in this chapter, I will refer to a

study of young employees of the Federal service that suggests how important this dimension is becoming to those already in the work force and being groomed for major leadership responsibility.

As employers of our public executives, the governments of the United States have three basic responsibilities in the leadership development process:

1. *To foster a climate within which growth and development are regarded as integral to the total management process.*

2. *To provide the necessary funds and supports for the various instruments of development.*

3. *To perform those development activities in which it is appropriate for the government to engage.*

THE NEED FOR A SUPPORTIVE MANAGEMENT CLIMATE

As I have suggested earlier, a supportive management climate is absolutely essential to a successful human development strategy. This is true for a very simple reason. The incentives for growth and change are created on the job. If a work situation is closed and rigid, there is little possibility that an executive will go into a training program eager for new learning.

Even more significant a consideration is the obvious point that most of the learning occurs on the job, anyway. If work is not seen as exciting and conducive to personal growth and if there is not a recognized, conscious effort to help people develop through their work experiences, the organization has failed to provide the necessary environment for learning. No training program can really make a major impact on an individual whose back home situation is of such a character.

In a very stimulating doctoral dissertation, V. Dallas Merrell suggests how crucial is the reciprocal relationship between training program and work circumstance. He studied three major executive development programs, two of them governmental, and found all three suffered from a lack of "back home" supports. Graduates of the three reported that there were few expectations that they would change as a result of the work experience; no changes of role were anticipated; there was little belief on the respondents' part that bosses and colleagues would approve of changes in behavior or ideas that they might initiate, and few rewards or penalties were anticipated as a result of performance in the training program.[1] *(See bottom of page 34 for footnote notation.)*

The significance of the work environment to the long-term development of our public leaders is perhaps best illustrated in a U. S. Civil Service Commission study, issued in early 1969, of approximately 3,000 young professionals in the Federal government. One of the most important findings of the study was the tremendous interest exhibited by young people in their work. "The work itself is of paramount importance to young people," it was reported.

> *They are more concerned about the challenge and meaningfulness of their work than with the environmental conditions and fringe benefits . . . The two more important aspects of the ideal job situation for career trainees were meaningful work and an opportunity for useful accomplishment . . . Appended to this intense interest in the job itself was a deep concern for, and consciousness of, the relevance of the work to larger issues affecting society as a whole.*[2]

The desire for growth on the part of these young people was also evident in the study. About 43 per cent had taken academic work since entry, including 31 per cent who had received some tuition support but who had studied on their own time. Significantly, three-fourths thought they had grown as a result of their work experience.

Yet their reported career plans do not seem to correspond with the satisfactions reported above. About an equal number (35%) planned to leave the government as planned to stay (38%). Furthermore, only 13 per cent planned to stay in the agency in which they were then working. Over one-fourth (27%) had no definite plans. Yet nearly 60 per cent expected to continue in their present occupation.

Was the work environment so unimportant in their future career plans? It is interesting that over half the respondents did not believe their agency had a well-planned training program, and about one-third felt that the formal training they had received had not met their expectations in terms of relevance and quality. The report commented:

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1. *V. Dallas Merrell, Transchange Theory and Strategies for Management Education: A Study of Change Dynamics in Selecting Management Education Programs (A Dissertation presented to the Graduate School of the University of Southern California in partial fulfillment of the degree of Doctor of Philosophy in Public Administration, 1969).*

2. *U. S. Civil Service Commission, Young Professionals in the Federal Government, (Washington: 1969), mimeographed, p. 6.*

Many trainees are dissatisfied with their rate and direction of development. Much has to be done in this area . . . The young trainees seem to have an excellent understanding of what is involved in true development. They know that it includes more than formal classroom training. It involves constant exchange and evaluation of experience, coupled with increasingly more demanding assignments. They are not satisfied with what they have been getting.[3]

While the study separated the work itself from the environment, it is interesting that the most commonly reported complaints were clearly a product of the management system; too much time doing clerical work, assignments not challenging or important enough, no job requirement for creativity, and work that is boring or too easy.

Of 14 job aspects on which respondents expressed satisfaction or dissatisfaction, the three toward which more than 35 per cent registered dissatisfaction were training effectiveness, the organization's management, and the work environment.

It has been said that the U. S. government has a better retention rate among its young people than does private business. This may be so. What young people in government apparently want is a management climate in which there is opportunity for growth through the work experience. Present organizational styles do not seem to have been very successful in meeting these needs, with the result that a large percentage of potential public leaders apparently will depart the government.

Thus, whether we are talking about the improvement of those currently in leadership capacities or the retention and development of those who will move into these positions in the near future, we can see that what happens on the job is critical to an executive manpower system.

THE CRUCIAL RESOURCE: EXECUTIVES

An organization's style will dictate its commitment to a second responsibility, that of providing the necessary resources for the operation of formal development programs.

Here it should first be noted that the most essential resource required is not money to fund a training activity. It is the achievement of a staffing

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3. *Ibid., p. 6.*

level that permits the assignment of the pivotal people to development undertakings. In short, training must be regarded as a tax on personal services in the same way as are delivery-oriented programs; it cannot be assumed that the only training costs are tuition or similar immediate outlays.

In the military, the Committee on Economic Development reported in 1964, higher officers are expected to spend about 12 per cent of their total career time in training programs. For a 20-year man, this would mean about two and one-half years in personal development activity. In the foreign service the percentage is apparently not as firmly specified, ranging between two and five per cent. However, there are a number of people who feel that the amount of training time should be increased.[4]

In contrast, a study of 1964-5 training activities in California showed that only about one per cent of manhours worked was directed to formal training.

Thus, the 30-year military man could count on about three and one-half years of education and training in his career; the foreign service officer about one year; and the California official (if the percentages hold about equally at all levels) about three and one-half months. In comparing these figures, it should be observed that California has had perhaps the most extensive training program of any governmental unit in the nation.

What is a reasonable allocation of personnel resources to the training task? I doubt the question can really be answered; but I do have a couple of impressions. The first is that the agencies that are generally regarded as doing the best job in the Federal government also seem to be those most involved in the development of their executives and the most apt to take these requirements into account in their overall staffing. The second is that there is relatively little point in participating in formal training programs when such activity has not been included in manpower planning. To put this last point in another way, decisions about sending people to formal programs ought to be made most basically in terms of executive manpower resources.

Too often, there is a tendency to "buy in" on a program, then at the last minute seek to find the most dispensable person to meet the commitment.

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4. *Committee for Improvement of Management in Government, Improving Executive Management in the Federal Government (Committee for Economic Development, 1964), p. 36.*

IMPACT OF GOVERNMENT EMPLOYEES' TRAINING ACT OF 1958

Despite the problems that still exist, the Federal government in the last decade has certainly showed significant progress in directing support and resources toward training. The key, triggering event was the passage of the Government Employees' Training Act in 1958, which, as Roger Jones has said, had the immediate consequence of providing respectability to manpower planning and career development.[5] In addition to its broad legitimation of training, the Act specifically authorized expenditures for executive development by all agencies. While this may seem like a small matter, the point is that the line managers of the government were free after 1958 to direct their program monies to training as they could to any of the other requirements of operation. The level of funding after that was determined in large part by the contribution of training to the ongoing activities of government.

I cannot emphasize too strongly how important this concept is. It means that decisions about training needs will not be made in the abstract, either at the higher echelons of the legislative or executive branch. Values are set, in market terms, by the willingness of operating people to part with funds in support of the activity.

The result has been a spectacular increase in the last 10 years of interagency training programs in the Federal government. The 1969-70 Bulletin of Interagency Training Programs, published by the U. S. Civil Service Commission, lists approximately 400 courses that are either being offered by, or planned by, government agencies in the Washington area. The Civil Service Commission itself provides a great variety of courses in Washington and in 10 regional areas, all on a cost-sharing basis. In one region, for example, training programs involving more than a million dollars of expenditures annually are supported by fees; directly appropriated funds used for training amount to only about $15,000.

Similar approaches have been utilized in California for an even longer period of time, with the same kind of growth pattern experienced.

The Commission's Mid-Career program is a particularly interesting example of the way in which the Government Employees' Training Act has made it possible for outstanding career officials in the age group 35-45 to go back to the campus for a year of sabbatical work. The activity was originally launched by the National Institute of Public Affairs, supported by a

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5. *Roger Jones, "Developments in Government Manpower: A Federal Perspective," Public Administration Review 27:134 (June, 1967).*

major Ford Foundation grant, in 1963. Since that time the program has continuously moved toward a posture of agency support, permissible under the Act. By 1969 more than 80 Federal executives were enrolled in nine different universities in a program coordinated by the Commission and financed entirely through fees paid by the agencies involved.

RESOURCE NEEDS OF STATE AND LOCAL GOVERNMENTS

As I have noted earlier, the resources question has been particularly serious at the state and local levels . . . the same places where the problems of executive manpower are becoming the most critical. In the last 25 years state and local employment has grown four times as fast as that of the economy as a whole and seven times that of the Federal government. Further, most of the projected growth through 1975 will occur in administrative, professional, and technical (APT) occupations in those governments. In the next six years, it is estimated that approximately 3 million APT employees will be needed, roughly divided between those who will be required to staff new and expanded services and those who retire and otherwise leave.

Despite these needs, the state and local governments are doing relatively little. Nowhere is the plea, "We can't spare him," more commonly heard. Nor is it more typical to ask that a program requiring one month be performed in three days. Money and trainers will not substitute for the right people in the executive classroom for the right amount of time.

There has, of course, been a shortage of money for training and people to do it. To help meet the latter problem, the Congress in 1968 passed the Intergovernmental Cooperation Act, which, among its other provisions, permitted state and local governments to secure technical assistance from the Federal government. A key limitation, however, was that such services were on an "as available" basis and had to be reimbursed, as would be the case with any Federal agency. If a two-week training program cost $600, the local government had to pay that charge. In the first year of operation under the Act, almost all the technical assistance activity was in the field of training. About 700 state and local employees participated in the Civil Service Commission courses of short duration and having to do primarily with technical skills. The number, however, is not significant because it took nearly a year to publish the rules and regulations governing these activities.

While it provides necessary technical supports, the Intergovernmental Cooperation Act does not meet the basic money problems of state and local governments. Thus the efforts to pass an intergovernmental personnel act providing for grants in support of these activities have potential significance.

Such grants, in the first years shared on a 75% Federal and 25% local basis, would provide supports for training and other personnel management programs, administered by the Civil Service Commission. They would also permit the Civil Service Commission to admit state and local employees to training programs on a non-reimbursable basis. As of mid-October, 1969, hearings had been concluded in the Senate; but they had not yet been scheduled in the House. Earlier, in 1967, hearings on a similar bill were never completed, and the bill died with the adjournment of the 90th Congress.

Thus there are evidences that increased resources will likely be directed into the entire manpower development process. With increasing problems of securing high level leadership performance and with the tremendous expansion of activity at the state and local levels, a considerable share of those resources will undoubtedly go to executive development. Yet a basic question remains. Will the key executives be freed from their other tasks to take advantage of an expanding range of opportunities?

THE CHOICE OF INSTRUMENTALITIES

A final responsibility of governments is the operation of certain of the training facilities it requires. What a government should do itself and what services it should seek from other institutions is a question that has been insufficiently addressed.

Costs of such programs cannot be measured solely in terms of dollar outlay. For example, training operated by a university on its campus for a government agency may do much to enrich a total educational program. On the other hand, a government-operated facility may provide a great deal more flexibility to its users and come closer to meeting needs.

Thanks to the Government Employees' Training Act, the Civil Service Commission has taken the lead in the Federal government in developing centers for executive development. The first was inaugurated in New York in 1963 and has operated a number of courses in specific subject matter areas, most of two weeks' duration, since that time. In 1966 a companion facility was established in Berkeley, just off the university campus. Both these Executive Seminar Centers, serving the needs of GS-14 and 15 level officials, are over-subscribed each year; and of course, many agencies run their own programs for similar level people.

In 1968 the Commission made a significant step forward in the creation of the Federal Executive Institute in Charlottesville, Virginia. The Institute, which occupies a former hotel, operates five eight-week sessions per year for

supergrade civil servants, those in GS-16 and above. Its budget is about $1,000,000 per year. The Institute is quite unique in that its clientele is composed of people who have already reached the top in their organizations. It differs, therefore, from all other programs with which it has been compared. To my knowledge, it is the only government program with such high level participants. In a world of extreme change, even the men at the top must go to school!

One aspect of these Civil Service Commission programs deserves notice. All are of relatively short duration. Eight weeks is the maximum; and even that is seen by many agencies as an extremely long period for which to spare senior people. In the future, it is likely that the universities who want to play a more major role in the continuing education of our public executives will have to rethink their academic calendars. As at the three residential centers of the Commission, educational programs will have to be far more intensive and compacted. The University of Oklahoma has been a pioneer in this regard by offering degree courses at a variety of locations for a single, concentrated week. While some may find such an approach incompatible with their own orientations, I suggest that new packages of this type will be required. My view is that the 50-minute class is not an optimal strategy for executive learning, and perhaps not even for an undergraduate.

One dimension of the Institute deserves mention. This is its intent to function as an academic community. With a faculty of 12 for an executive enrollment of 60, it seeks to maintain a major share of its own scholarly resources. In this sense, it is not like many training centers where the permanent staff is small and serves basically in a coordinative role. In order to permit maximum freedom within the governmental system, the Institute has been given a special place in the organization of the Civil Service Commission. Its director reports to the Chairman of the Commission. But it is still a government agency; and some years will have to pass to determine whether, in staffing and curriculum, it has achieved the goal of an academic community in which free inquiry is not only permitted but encouraged.

CONCLUSION

Here I have given very considerable attention to the place of the university in the development of our future public leaders. Questions do need to be raised about the way in which the task is being performed. To prepare leaders who will welcome ambiguity and cherish change, we need fundamental reforms in our learning approaches. Basically, we must develop early the idea that learning is a personal responsibility and that there are no experts who can set priorities and define interests.

Second, I believe we should take a much harder look at the process of public leadership recruitment and maintenance in our governments. As I have said, it is a highly specialized system; and I doubt that most pre-entry professional programs in public administration (or public affairs) are as useful as they might be. Typically, the role of generalist is acquired after long service in more specialized tasks. We need to develop more effective means by which the resulting requirements for leadership development can be met. In effect, the universities very likely should begin to examine their priorities, in the anticipation that the future will demand far more of them in the field of continuing education.

Finally, we must not minimize the many problems we face in mounting effective executive development programs. Much more is involved than an idea and a trainer. In fact, we are talking about a management philosophy that encourages innovation and prizes individual growth and development. What happens back home is critical to the whole process. Unfortunately, we have too often detached the training from the work experience, with the result that there is inadequate reinforcement for change, the wrong people are often involved, and resources generally are not equal to the purpose. Further, these problems seem most serious at the state and local level, where the need for a growing number of competent executives appears most acute. The future of our present Federal system may depend in considerable degree on our ability to develop adequate executive manpower at the state and local levels. More broadly, the quality of life in the United States will come increasingly to depend on public leadership performance at all levels of government.

AN INTRODUCTION
TO THE
FEDERAL EXECUTIVE INSTITUTE

Established on May 9, 1968 by Presidential order, the Federal Executive Institute is now an important element in the efforts of the U. S. Civil Service Commission to improve the quality of leadership performance in the public service.

The Institute serves the training and development requirements of high-level Federal executives, primarily at the grade of GS-16 and above, or equivalent.

The significance of this responsibility should be emphasized. Most training and development is directed toward people who have not yet reached positions of high status and importance. The Federal Executive Institute is unique in that its participants are essentially the "Generals" in the civilian service of the government. Numerically, they total about 9,500 of a work force of about 3,000,000 civilian employees. Additionally, the Institute is permitted to admit executives of similar rank from state and local levels of government.

The need to create the Federal Executive Institute has long been proclaimed by various groups who studied the operations of the Federal Service.

The reasons behind these recommendations can be seen in every facet of the American society and can be summed up in one word: change. Technology has moved so rapidly on so many fronts that it is no longer practical to assume that even the top leaders do not require education and training in order to cope with new and complex problems. Perhaps the most dramatic change has been in the increasing complexity of the problems government is called upon to solve. Virtually every activity is related to every other activity; solutions will not come through parochial experts working in isolation. There is increasing recognition of the interdependence of the units of government and therefore the need that they work in ever closer harmony and with increasing responsibility toward each other.

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There has also been growing recognition that the governments of the United States must become far more aware of the needs of the society and respond to them in more creative ways. All this must be done within a context of support for the traditions of a democratic society.

Thus the challenges of governmental leadership have never been greater.

The Federal Executive Institute began operations on October 13, 1968, when the first group of 53 executives was welcomed to Charlottesville, Virginia. Here, in the shadow of the University of Virginia, the Institute occupies a former 86-room inn on an eight-acre site.

As of February 28, 1970, a total of 376 executives from the full spectrum of Federal departments and agencies had attended the major Residential Program in Executive Education. This program is eight-weeks in length and is offered five times each year. By the end of April, 1970, eight sessions had been held.

In addition to the eight-week program, the Institute engages in a number of other training and development activities. In its first year of operation about an equal number of executives participated in shorter, special programs as in the longer course.

Graduates of the Institute took the initiative in establishing an Alumni Association of the Federal Executive Institute in February, 1970. Advised by the Bureau of Executive Manpower of the Civil Service Commission, this Association will undertake to continue development activities started at the FEI. For its part the Institute is maintaining contact with its alumni through special conferences, a newsletter, and other special services.

BASIC PURPOSE AND ASSUMPTIONS

The Federal Executive Institute is concerned with Executive Development. It works with individual executives, not with an organization as a whole; and the degree to which an individual's experience will be utilized in a given agency will depend not only on his interest and willingness to bring about change but the level of readiness for change within the agency itself. Hence, the benefits of executive development may not immediately be apparent; their full import may not occur until such time as the organization consists of motivated people interested in improving its performance. The Institute program is consequently a long-term investment.

There are two primary ways in which the experience at the Institute contributes to more effective leadership performance:

1. *By Strengthening Individual Capabilities.*

A more able individual in a job is one way of getting better leadership performance. Greater effectiveness may occur because present strengths are identified and further advanced, because attitudes are changed, and because skills are developed. The experience at the FEI should not be regarded as corrective or deficiency-oriented. The purpose of the program is to help strong people become stronger, not to correct weaknesses.

2. *By Better Understanding of the Leadership Role.*

Each individual leader has expectations about what he should do in a particular position. Sometimes these expectations are narrow, limited, and fail to appreciate fully the significant responsibilities of the position. Through a profound immersion in the whole of the governmental system, it is anticipated that a broader view of the role of the American Federal Executive will be developed. Partly because of these considerations, it is important that the participants at the Institute share approximately the same level of responsibility in the government. That is why great care is taken to insure that the criteria for enrollment in the program are observed by all agencies.

This emphasis on the individual and the role he plays requires that each executive engage in intensive self-scrutiny. He must ask the basic questions about areas in which he can further strengthen himself, departure points for greater broadening, and about pathways to enhanced perspectives about his role and responsibilities as a governmental executive.

It is the purpose of the Institute to provide an environment in which these processes of self-examination are most apt to occur; and, in this respect, certain assumptions about the Institute should be noted.

The first is that its key activity, the Residential Program in Executive Education, is conceived as a distinct break in the routine of the office – both spatially and temporally. The choice of a site in Charlottesville, over two hours from Washington, was made in order to provide a locale for reflection wholly removed from the work and family situation. For field officers, however, it is close enough to the capital to provide opportunities for movement to the nation's center for purposes of study.

Time is another important consideration in the theory of the program. It was consistently recognized that education does not come quickly and easily. Original proposals called, therefore, for very lengthy periods of study for selected executives. The realities of executive manpower were such, however, as to force limitations on these original plans. The present period of eight weeks is a compromise between the demands of fast-moving government organizations for their leaders and the needs of the educational process for time. Most executives who have attended the Institute believe the time is long enough to provide for a change of pace, without extensive disruption of agency work.

Another key element in the theory of the Institute is its interagency character. It has often been pointed out that the significant programs of the government are characterized by their interdependencies. Top leaders cannot alone look inward and downward; they must also look upward and laterally as well. Where a middle-level manager is preoccupied with the work of his unit, a top-level manager spends much of his time in coordination and in negotiation with other units and often with other agencies of the government. As one ascends the hierarchy, the role changes.

The Residential Program of the Institute is thus intended to build upon earlier, intensive management education within the departments and agencies. It is neither a substitute for programs at that level, nor can it function as well in its mission in the absence of such training.

Each session of the Institute convenes a wide diversity of government officials. Not only do they come from a great many different departments and agencies (all the major departments and agencies participate), but many disciplines and tasks in this complex system are represented. Typically, about 75 per cent of the average class comes from the immediate Washington area, about 25 per cent from the field. Efforts are also made to enroll members of ethnic minority groups and women in each of the sessions.

The first state official was enrolled in Session VIII of the Institute, and it is anticipated that additional members of state and local governments will participate in the future. Foreign executives, with appropriate competence in English, are eligible to enroll when sponsored by U. S. or international agencies.

A program arranged with the University of Virginia and supported by the Ford Foundation provides for the participation of selected faculty and students in the various sessions of the Institute. Faculty members from William and Mary and from Colgate University have been Ford Faculty Fellows, and professors from the University of West Virginia, Michigan

State University, Carroll College, and the University of South Dakota are scheduled for future sessions. A limited number of highly qualified undergraduate students is also selected by the University to come to Charlottesville for two months and to participate in major parts of the Institute's activities.

Thus the community at the Federal Executive Institute is a very heterogeneous one; and the isolated environment of the Institute promotes constant interaction – in seminars, at meal times, over coffee, in study sessions, and late at night just talking. In a vicarious way, the Institute is an experimental "cram" course on American government and its processes. It is a "retreat" only in the physical sense; the opportunity to experience new ideas and new people is virtually unparalleled.

Finally, the Institute is conceived as an academic institution with its own resident faculty, some of whom are long-time government officials with teaching backgrounds and others of whom are on leave from major educational institutions. Through the maintenance of a permanent resident faculty of 12, the Institute seeks to make the concept of the learning community a vital reality. Nearly all the seminars and other educational elements of the program are organized and presented by scholars who remain at the Institute and are available for continuous discussion with executives. Speakers are generally government officials and other public figures whose responsibilities and/or ideas are such as to make a unique contribution to the Institute program.

A major contributor to the functioning of the FEI as a learning community is the University of Virginia, an outstanding institution with more than half its enrollment of 9,000 students at the graduate level. With the aid of a grant from the Ford Foundation, the University has appointed three of its faculty members to perform liaison and support activities with the Institute. Professors from all the major schools of the University have given lectures or presented seminars at the Institute; and five faculty members from the Institute have conducted regular classes and seminars at the University.

Both in terms of the size of its full-time, resident faculty and in terms of the intensity of its relationship with the University of Virginia, the Federal Executive Institute is a unique undertaking in the training and development field.

CURRICULUM GOALS

"What is the curriculum at the Institute?"

That is a common and understandable question; the simplest answer is there is not a single curriculum.

The Residential Program in Executive Education is an eight-week experience which is adult in its orientation, individual in its construction, and experimental and evolving in its thrust.

Adult education is different because an older person has his own experience and insights to bring to the situation. Also, he has more demands on his time and insists that his expenditure of a valuable resource be useful. For the executive, there must also be the recognition that there are no simple answers to his problems and really no experts with panaceas. Adult learning therefore requires that the learner be responsible and be in control. It is he who must set goals, establish directions, and measure progress. Thus, at the FEI, it is consistently said that each executive must take responsibility for his own learning.

The assumption of this responsibility, of course, has important effects for the curriculum. The Institute cannot dictate in the normal way what is to be learned; its function is to provide resources which the individual executive may utilize.

The resources of the Institute have been mobilized in order to meet the three basic mission requirements, established at the time of its creation:

1. *To heighten responsiveness to national needs and goals.*

This mission involves a recognition that top managers are not neutral purveyors of services. They must be aware of what is happening in the nation, be concerned to see that resources are used for the nation's most pressing needs, and see that programs are administered in a fashion consistent with the values and expectations of the political leadership of the nation. An executive more aware of the total requirements of the society, it is believed, will be more responsive in the area of his particular responsibility.

2. *To increase appreciation of the totality of the governmental system.*

As have been observed above, the complex problems with which government is grappling typically involve many elements. At the decision-making, policy-setting level, the interests and goals of the President and Congress must be understood and appreciated by administrative officials. Particularly within the executive branch, there is increased need for improved coordination among units that must necessarily work together on highly complex problems. Finally, the Administration has set as one of its management

goals the promulgation of a "New Federalism" in which the states and local governments will play even more important roles. In all these respects an appreciation of the U. S. governmental system and its values is central to responsible administrative performance.

3. *To improve knowledge of managerial processes.*

The federal executive must never lose sight of his responsibilities as a manager, which essentially involves leadership in the achievement of his organization's mission. Such leadership should not be construed narrowly but includes the full range of activities required to identify new program needs, to secure resources, and to adapt to new demands.

Within the context of these goals, the Institute establishes a schedule of activities for each session. With the exception of the guest lecture program, executives are asked to regard this schedule as a set of options, from which they may construct an individual learning program. It is a matter of principle at the Institute that at least three alternative possibilities of study will be available at any given time. Two of these will be organized learning activities, with the third an individually planned and executed effort by the executive himself.

Though there have been some features of the Institute program which have persisted throughout its various sessions, there is no commitment to a particular set of offerings. It is not anticipated that anyone will return for a second time and thus find some of the offerings duplicated. Changes are made in the program. The Institute seeks to shape its offerings very much in terms of the current necessities and demands on the government; and its planned rotation of faculty regularly shifts the resources available to the Institute in the offerings of seminars and other programs.

ELEMENTS OF THE PROGRAM

Typically, scheduled activities in a session occupy about 55 hours per week, beginning on Sunday evening and continuing to Friday at 3:00 p.m. Three to four evenings have planned activities; and executives are expected to remain at the Institute for programs on the first and seventh weekends.

Efforts are made to form a "learning community" as rapidly as possible, primarily by facilitating friendly, informal contact among executives and faculty. First names, casual dress, and name tags are all encouraged as means of building a closer relationship among the members of the community. The notebook is another important feature of this process. It contains an extensive

review of the features scheduled for the session and is supplemented in the first week by pictures of each of the executives and faculty. The executives typically form their own organization to handle non-academic affairs and to work with the faculty on certain academic activities, such as speaker selection and the reception of distinguished guests in Charlottesville.

It should be emphasized that efforts to bring the individuals at the Institute in close contact with each other has a fundamental learning purpose, rooted in the interagency character of the FEI. It is believed that more effective coordination can be achieved among levels of government where there is a deeper understanding of the roles and individuals that compose this total, complex system.

The Institute conducts much of its learning activity in groups of various sizes, which is possible because of the large number of classrooms in the facility. Six seminars, for example, are offered concurrently. Other programs are often broken into five or six main groups to facilitate the opportunity for discussion and debate.

The following instructional elements have frequently been scheduled in sessions of the Residential Program in Executive Education:

1. *Executive Development Groups*

These groups, formed in the first week of a session, perform an important introductory role. Not only do they help 9-10 executives to come in close contact quickly, but they are also vehicles for discussion of individual learning objectives, Institute programs and resources, and assessment of progress toward goals that have been established. The groups typically meet again in the eighth week to consider future learning goals, advise the Institute on improvements in its performance, and to consider the ways in which the experience secured at the Institute may be utilized on the job.

2. *Lectures to the Community*

The Institute invites to Charlottesville distinguished public figures to address an equally distinguished audience of governmental officials. Cabinet officers, Supreme Court judges, Congressmen, Mayors, counselors to Presidents, university presidents, and many other outstanding people have made evenings in the Dominion Room (the Institute's principal lecture hall) memorable. In an atmosphere of informality and considerable confidentiality, these appearances have been characterized by a high degree of "give-and-take" between speaker and audience.

The "Executive Lectures", typically given at 8:15 a.m. by executives in attendance at the Institute, have become an important tradition at FEI. Not only have many of them been outstanding in their substance, but they have been major contributors to building an understanding of the "total governmental system".

3. Workshops

A considerable portion of the average session is devoted to an intensive and focused learning experience, usually five days in duration. At least two workshops are offered concurrently, with the further option that an executive may design his own learning experience with a faculty member for that period.

The workshops have generally covered these areas: leadership, national needs and goals, and executive skills.

The workshops on leadership explore variations in leadership styles, values as factors in leadership behavior, and the role of the American Federal Executive. A variety of participative learning techniques are used.

The workshops on executive skills are concerned with two broad problem areas: (a) what skills the executive needs as an individual in order to perform his leadership tasks, such as communicating, delegating, etc.; and (b) what the leadership role requires of the executive as a decision-maker, e.g. an appreciation of quantitative methods, systems analysis, and other means by which greater rationality can be introduced into the process.

Another set of workshops seeks to develop a greater understanding of the policies of the present administration and the processes by which they are shaped. These workshops, which often allow an individual executive to concentrate either on foreign or domestic policy issues, typically include a trip to Washington to consult with officials of both the executive and legislative branches who have played key parts in policy formation.

4. Policy/Management Studies

Covering approximately 55 hours of scheduled time, the Policy/Management component represents a special element of flexibility in the program. It is a period when an executive may work independently or with a small group of colleagues in an area of particular interest and significance. It is a unique opportunity for the executive to take charge of his own learning, with broadening as the basic goal.

Aside from the requirement that the individual take responsibility for this segment of the program, there are several other ground rules that operate. The first is that the time not be spent in going over matters already familiar to the executive; the second is that the presentation of a written product is voluntary and should not be allowed to interfere with maximum personal learning. Within these general terms, executives have undertaken a wide range of studies – of executives themselves, of intergovernmental aspects of pollution, of rural development, of regional commissions, of narcotics and drug use, and many others too numerous to recount here. A complete list of previous studies is available to executives.

Approaches to the studies also vary. Some involve examination of written materials. Others involve field investigation; time is scheduled for periods of concentrated study, either in the library or at the site of the problem under investigation. Toward the end of the session, time is also set aside for executives, who are so inclined, to report to their colleagues on the results of their studies.

5. Seminars

The seminars simulate, in limited degree, the normal program in the university. Led by a faculty member, the seminars typically involve about five meetings of two hours in length.

The subjects of the seminars vary considerably from session to session but are equally divided among the three major objectives of the Institute: management improvement, understanding the total governmental system, and appreciation of the environment to which government must respond. Commonly, seminars are offered on managerial psychology, international affairs, intergovernmental relations, race and poverty problems, science and public policy, economics, and a variety of other subjects.

Two sets of seminars are commonly offered in a session, with six in each set. An executive normally takes one seminar in each six, making two for the session.

This brief survey of the instructional components of the eight-week program covers only the areas of commonality from session to session. There is, in fact, considerable effort in each session to give it a unique character and to undertake new programs both for experimental reasons and to make each session as relevant to current needs as possible.

INTER-DISCIPLINARY FACULTY

An inter-disciplinary faculty of 14, including the Director and the Deputy Director (who both participate in the academic program) is in full-time residence at the Institute. The relatively large number of regular faculty (about one faculty manyear for five participant manyears) is part of a conscious design to provide a maximum opportunity for interaction between scholars and practitioners.

Most of the formal teaching, which is kept to a minimum, is provided by the resident faculty. Only rarely do executives find that they cannot pursue an idea which has been generated in a seminar. Most frequently, however, the ideas do not come from formal learning situations. They come in the course of problem-solving activities, in which executives and faculty participate as colleagues in learning.

The intensive nature of the Institute program requires that faculty members enjoy a certain amount of "down" time, during which they are engaged in curriculum planning, development of teaching materials, and similar types of activities. To provide such time, the faculty is divided into two teams, one of which has primary responsibility for a particular session. This team is responsible for the organization of the session, its conduct, and for close relations with the executives. Thus, an executive attending a particular session of the FEI will have extensive interactions with about half the faculty and will have less involvement with the rest. All faculty members, however, offer workshops or seminars in each session.

FEI faculty members comprise a multi-disciplinary group. Disciplines represented in the spring 1970 included: political science, public administration, education, economics, law, psychology, and religion. In addition, three consultants, two of them from the University of Virginia supported by funds from the Ford Foundation, further enriched the faculty resources of the Institute. The three consultants were from political science, education, and the humanities.

All but one of the regular faculty members and consultants held doctor's degrees.

Teaching faculty (as of March 1, 1970): T. W. Adams, PhD, (Science Policy and Management); Patrick J. Conklin, PhD, (Intergovernmental Relations); Maurice A. Dawkins, D.D., (Urban Affairs); James N. Holtz, DBA, (Economics and Business Administration); Clyde V. House, PhD, (Political Science); Edward J. Jones, Jr., DPA, (Administrative Behavior); Larry J. Kirkhart, MPA, (Sociology of Organizations); James B. Lau, PhD,

(Organization and Industrial Psychology); Donald E. Nuechterlein, PhD, (International Affairs); George A. Warp, JD, (Public Administration); and R. T. Williams, Jr., EdD., (Applied Behavioral Science).

Consultants: Marianne Williams, EdD, (Adult Learning); Laurin L. Henry, PhD, (Political Science); and T. Graham Hereford, PhD, (Humanities).

FACILITIES AND LIVING ARRANGEMENTS

The facilities and living arrangements at the Federal Executive Institute are an important element in the creation of its educational environment. Such an emphasis is particularly important for an institution whose mission is to bring together officials from a variety of departments and agencies in developing a better understanding of governmental needs and challenges.

Each executive is assigned a private room, with bath – his home for eight weeks. Rooms are fully furnished, complete with a small library of about 25 books, called the Executive Bookshelf. Daily maid service is provided.

All meals are served in the Rotunda Room, a spacious dining area seating approximately 80 persons at one time. Executives sit at tables of four to six persons, order from a menu with several choices, and are served by waiters. Meal hours are sufficiently lengthy to provide some flexibility in personal schedules.

The Institute possesses two large lecture rooms, as well as several lounges and rooms which can be used for small group discussion groups and for seminars. Major speeches are made in the Dominion Room, which comfortably seats about 75 people.

The Library is an important contributor to the broadening process at the Institute. Not only is it an attractive and comfortable room on the second floor of the main building, but it also houses a growing collection of significant books and publications. In the spring 1970 there were approximately 2,500 books on its shelves, as well as a wide and representative array of magazines and other periodicals. Additionally, executives have access to Alderman Library of the University of Virginia, which contains more than 1,000,000 volumes.

A 1968 VIEW OF THE
FEDERAL EXECUTIVE INSTITUTE

There are a lot of things I would like to tell you but I realize the time is relatively short so I'll hit some of the highlights. As a preliminary note it might be said that the panel subject is education for government and military personnel. I know when I was in the university I had lots of discussions about what was education and what was training. We arrived at some kind of conclusion that if it's not degree-oriented it's not education. Now, I am in a situation where I am not clear that that distinction works very well. I keep saying that the Institute is an educational institution when I'm not clear on what grounds I make that claim. But certainly we are dealing with a level of instruction that relatively few educational enterprises have been directed toward in the past.

Let me trace the background of the Institute. The facts of the matter are fairly clear that for a good many years, as a matter of fact you can go back to 1808, there have been proposals that some sort of civil academy be created. I suspect the early ones were around a pre-entry program for developing an elite to perform the same kind of task the commissioned officer did for the military, and that has often been done in other countries of the world. In more recent years, certainly since World War II, proposals have been directed towards the need for the top level official to secure some kind of update by a return to an educational situation that will help him cope with the rapidly changing problems in his new milieu.

There was a report in 1953 that was widely noted and the subject was included for study in the second Hoover Commission Report. It has met with resistance in some places because it has been seen as something that is promoting an elite group in the system. And therefore it was late in the Johnson Administration that the President decided to go ahead and create this institution. It was created in part because of a fantastic increase in the area of short training courses and related kinds of activities within the federal establishment.

Out of the Training Act of 1958, there were several important results. The first was a tremendous expansion in the amount of training and for the very simple reason that program management now had the option to use its

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Transcript of Speech to The Sixth Annual Conference of the Eastern Academy of Management, November, 1968.

funds for training activities. With the passage of the 1958 Act, it became possible for the manager to regard training as important an item of purchase as people on the job, or typewriters, or supplies, or whatever. And I think it is very indicative and significant that when the program manager had that opportunity to make a decision, he allocated very substantial resources to training. The program manager, then, has seen the need for training in the government. As a result there are about 40,000 people now receiving education and training through the Civil Service Commission and this is just a small part of the total since these are the programs that are interagency in character.

One of the significant events in training was the creation in 1963 of the Executive Seminar Center at Kings Point up at the Merchant Marine Academy. This particular residential program – the first of its kind established by the Civil Service Commission and essentially one of the first for civilians in the federal government – was targeted toward the 14 and 15 grades. These are high level people in the government but they're somewhat below the three top grades. There were constructed a total of 12 courses that had been given at varying times in that program. Typically, the courses have run two weeks in length; some have been one week and one four weeks. After the first year there was oversubscription for these courses. In about 1966 there was established a second center at Berkeley, California. These two are now functioning.

Also under the Government Employees Training Act of 1963, with the aid of a substantial grant from the Ford Foundation, the National Institute of Public Affairs began a program of mid-career education for promising executives in the age group 35-45, generally those in grades GS-14 and GS-15. The five participating universities were among the most notable in the country and probably best known for their general education. There was no interest at that point in concentrating on management. It had to do with a broader kind of education in economics, political science, and other areas. Four of the original ones are still going. In more recent years, five others have been added in specific functional areas. There is one in urban affairs, one in government and business interface, one in administration of natural resources, one in science and public policy, and one other. That program has now reached the point where the Civil Service Commission has taken it on its own. The grant has run out, and this year there will be about 90 of these very special mid-career people who will attend universities in which they have expressed interest.

A lot of things have been going on in the last decade, as is true in the Defense situation. It isn't exactly surprising that these forces tended to coalesce and late in the Johnson Administration a decision was made to go ahead

to establish the senior college, or the senior facility, for those in grades 16, 17, and 18. This was the Federal Executive Institute.

Now, that program has had to get started in a great hurry. We received our first group of executives, anxious and wondering, on October 13. The faculty had assembled on August 26. Most of them didn't know a month before that they were going to be where they were in August. When you think about what the Institute is today, I hope you will understand the pressures, the real difficulties under which it got under way. And I really do accept the penalties because as I now look back on it I think it would have been a very unfortunate thing if we hadn't made the effort.

The general situation at the Institute is this: It is located in Charlottesville, Virginia, in an 86-room hotel, located on a very pleasant knoll about one mile from the Rotunda of the University of Virginia. The hotel is fully-occupied year round by the Institute. We have space for 60 executives at a time. The rest of the rooms have been converted to offices and classrooms, and so on. It was fortunate the hotel had been a convention facility.

Each executive is treated as if he were the important man that we say he is. I'd say that one of the things that is wrong with a lot of executive programs that universities run and others is that they bring a person there and tell him "You're important," but he is treated as though he isn't. Forty per cent of the money we spend goes for the facility and the food; one person to a room; waiters serve meals; executives order from a menu.

It is clear to those who come to the Institute that this is something special. I don't think there are many like it in the government. I really have become even more committed in my own mind to the idea that the facility is the most important starting point for anything like this. If you can get the right food, you have got a good chance of getting off to a good start.

We run five sessions a year. We have an intake of 300 people during the year. Each session is eight weeks in length. It is difficult to take very critical resource people away from their jobs for a longer time.

The 300 per year represents a fair piece of the population we seek to serve. We don't know how many people are in our universe. It may be as many as 9,000, if you include a lot of highly specialized people who are working at the salary levels in which we have an interest. Today, this would be from $24,000 to $30,000 per year. There are 4,500 specifically in the supergrades. About 3,000 are ready, young enough, in jobs that are critical enough. If we hit 300 per year, then in a relatively short period of time we

will have made a real impact on that part of the total system of government.

My association with these people has convinced me that there is a chance to make a real contribution and impact on the way government will perform in this country. I'd argue very strongly out of long experience in pre-entry education that a lot of us in the educational world have missed the very real satisfactions of investing ourselves very heavily in the mid-career program. For me it has been a very rewarding and challenging experience in many ways.

It is one of our fundamental principles that we are not putting these men down. They are top people in government and we assume that they have a lot of responsibility. We are not doing anything to say that they do not have that sense of responsibility. The program could be defined as a loose-knit one. The first night we decided we'd have a fishbowl. We put the faculty in there, and they talked about all their anxieties on coming into this new situation and being asked to contrive a program in some haste. After 40 minutes one of the physical scientists said, "When are you guys going to end all this nonsense?" This is the kind of situation with which we have had to work. I think that it is of some consequence that we have been able to operate, not because we have been so right, but because we have gotten a lot of support from people in saying that we don't know all the answers.

I might just say that as of the moment we have graduated two sessions. There are 110 people who are now official alumni. The first alumni meeting was held a short time ago. Out of the 80 who are from the Washington area, 70 came to the alumni dinner.

There is a close association with the University of Virginia. It has been rewarding to many of us. Two of our faculty members now teach there. The faculty contains a variety of disciplines primarily in the social sciences, such as anthropology, psychology, education, international relations, divinity, and public administration. There is no economist on the faculty but we draw on the University and we are in the process of establishing a close relationship with the Graduate School of Business Administration.

One of the things about the students of the Institute is that they are from most of the agencies of the government. About one-third are from the Defense Department, or Defense establishments, but we have not been successful yet in interesting foreign service people in the program. We are hoping we will be able to do that. Of the people who have been at the Institute, about 40 per cent are physical scientists, 40 per cent from the

social sciences including business and public administration, and 20 per cent from the humanities. It has been difficult to find something in common, not only because of the heterogeneous educational backgrounds, but also as a result of the different kinds of jobs and responsibilities the men have in the government. If anyone ever imagined that this is not a big and vastly complicated government he simply has to take a look at the composition of one of these classes of 60. I haven't been able to determine myself what an executive is as a result of this experience. I thought I knew when I came here but it became less clear. If one tries to use a definition of an executive as a basis for admission it becomes troublesome because a person who occupies a position of specialized professional responsibility in one of these rather large organizations is a major part of the leadership structure. He has the capability for high influence. There are a lot of things I would like to say but I did want to indicate that we have worked a little differently on the managerial concept and this is in part a result of the nature of our group and of the special kind of need of the public executive. But I am not sure executives are so different; as a matter of fact, I had an experience recently that says they're not. We have thought that our problem is how to get the government executive to respond more directly, more rapidly, more significantly, to the real needs of the society. That is, he should read his environment and search it, process data from that environment, and build an organization that is sufficiently change-oriented and adaptive to re-cycle into new need areas. In city governments today, we're building streets of a high quality, while our cities are being burned down. Managers in the cities have not been able to make that adjustment, the systems are not adaptive enough. We really have worked with adaptiveness as our basic goal. We are interested in how you build a person who will be change-oriented, and willing to take risks. We are interested in how you help him build an organization of people who are self-responsible and willing to step out and take a chance. We are interested in how to help this man relate a vast organization of extreme complexity to the significant problems of society that are being faced on a multi-organizational basis. And, finally, we want to help him read that environment so that he can take a look consistently, as part of his open frame of reference, at what it is that there is for him and his system to do in a world that is undergoing tremendous change. Those are the kinds of things that we have been concerned about in our definition of management.

There is used a broad range of techniques to get at this, ranging from the conventional lecture, to the small group exercise in basic leadership style, to cases, to syndicate kinds of enterprises to simulation, and to the university type of short course. There is a great deal to do in a short period of time but we're trying to give the man a chance to look at a whole range of options and make his choices of what it is that he should be trying to do.

Here are my replies to your questions. First, we don't have any entrance requirement except that the person be nominated after an extensive screening process by the agency. In educational background 20 per cent have the Ph.D., over half have a master's degree, and about three out of the 60 have not been to college. Second, on evaluation of the program, let me say that we do not evaluate. We do not test for course comprehension. However, there is a lot of feedback on how things are going for them. The main reason why we don't do the evaluation is that we think that it is destructive to the kind of learning environment we are trying to create. What we are trying to do is to get people to experiment and be different than they are on the job. We want to do as many things differently as they can tolerate so that they can experience difference and change. And we fear that if we evaluated them, they wouldn't have the same freedom.

It should be noted that the Institute emphasizes heavily behavioral science. There is some quantitative work in short seminars. The Institute is interested in promoting more effectiveness in managerial style, in problem solving, and in coping with human systems. Behavioral science serves such purposes.

A question has been asked about how management education for government employees treats the topic of science in public policy. At Indiana University, Professor Lynton Caldwell conducts a year-long seminar on that topic. The seminar considers allocation of resources as well as scientific innovations. At the Institute, the topic is dealt with on a modest scale. Science is considered for one day as part of the subject of environmental difficulties. A syndicate analyzes science problems, such as how to apply science to urban problems. In addition, nine hours of Research and Development Administration are devoted to such topics as the nature of the laboratory, organization for science, and the science administrator.

A 1969 VIEW OF THE
FEDERAL EXECUTIVE INSTITUTE

It was just about a year ago that I had the pleasure of speaking in Washington at a somewhat similar meeting. At that time I was confined to describing what we hoped to do. Now, one year later, I am gratified to speak about what we have done.

It is important to remember that, as of July 14, 1968, only the very able Deputy Director of the Institute, James Beck, was on the payroll. He was then moving into a temporary office. We had to sell a few shares in advance to finance Jim and certain of our preliminary operations in the 1967-68 fiscal year. We had no money for investments, except those advance fees.

I was first approached in late May about the directorship. When I was told that the first group of executives was anticipated in early October, I thought some people had taken leave of their senses. We somehow recruited a faculty – all with PhD's and substantial reputations by mid-August and really began operations at the end of that month.

Though it may be immodest, I can tell you I am terribly proud of everyone involved. I think we did the impossible; and you should know that I have come in the past year to understand fully the extent of Jim Beck's contribution to the undertaking. In my judgment, he deserves to be known as the true father of the Institute.

I came to the Institute because I thought it was needed. I now am convinced that it is needed. Nothing has been more rewarding than to be part of an enterprise which has had so much approval from its participants. I am not telling about the quality of the program; I refer to the feeling of need for an opportunity to think about a fresh idea, to explore a small corner of experience that has not been surfaced, and to rub shoulders with colleagues.

SPECIFICS ABOUT THE INSTITUTE

In this report I want as briefly as possible to record for you the quantitative record of performance.

A Speech to the Training Officers' Conference in Washington, D. C., December, 1969.

In our first year of operation, 274 federal executives completed the eight-week program in executive education. At the end of this week, that number will go well over 300. They come from a great range of agencies – large and small. The person of highest status to attend the Institute is George Hartzog, Director of the National Park Service, with whom we have maintained a very close relationship. In fact, it is clear that the Institute's most profound agency impact has been on the Park Service, where almost all the top echelon people are graduates of the Residential Program. And it is with considerable pride that I report Mr. Hartzog is one of our most enthusiastic supporters.

In all, about 600 top executives participated in the various training programs the Institute held in its first fifteen months of operation. About 600 more have attended various types of sessions, conferences, and briefings at the Institute. The facility has, in short, been intensively utilized.

Unlike most other training activities, we do not lose touch with our alumni. While we knew it would be a good idea to keep in contact, the initiative for the continued relationship came from the executives themselves. As a result, we have published a Directory of FEI Executives attending our first four sessions, issue a monthly Newsletter, and operate a bi-monthly "book of the month" club. We have had two "follow-on" conferences, to which we have invited alumni of our first four sessions. We have filled the Institute to capacity on both these occasions.

As many of you know, we are located in the former Thomas Jefferson Inn, an 86-room hotel in Charlottesville, on a lease arrangement. We are completely self-contained, contracting for food service with a local firm.

We are supported entirely by fees from the departments and agencies using our services. Unlike some other reimbursable programs, no one is required to use our services, nor do the funds that ultimately come to us even have to go for training. Thus, the market place becomes an important test of our performance. If we fail to do a job, we will not have the money to continue.

In the current fiscal year, we plan to spend about $1,040,000, over 90 per cent of which comes from the $3,250 fee for our eight-week Residential Program. About 43 per cent of the fee goes to support facilities, rental and food, indicating our commitment to the idea that top governmental executives should work in comfortable, though not luxurious, surroundings.

With the remainder of our funds we have not only supported the basic programs of the Institute but have made substantial capital investments

which will yield benefits for a good many years to come. We have carefully husbanded our resources in order to get our capital plant in top shape as fast as possible. Just one illustration. We projected a library of 5,000 volumes, to be built over a five-year period. We are almost halfway to that goal in a little over a year. And we have invested further funds in developing acquisitions and indexing processes that will uniquely serve our needs at the Institute.

As I mentioned earlier, we had no faculty at all less than a year and a half ago. Since that time, eighteen highly qualified people have played major academic roles at the Institute, though not all full-time. We currently have a faculty of nine. This does not include the Director and Deputy Director, both of whom are deeply involved in the learning process themselves.

There has already been turnover in the faculty. Four have concluded their terms of service with us: two to return to teaching assignments in their universities; one to accept a promotion to Dean of Academic Planning in a college of 10,000 students; and one to work with AID. Many disciplines have been represented: public administration, business administration, political science, economics, psychology, education, anthropology, religion, and the humanities.

Our relationship with the University of Virginia is prospering, thanks in good part to a grant to the University from the Ford Foundation to improve and develop the relationship. We have had significant involvement of faculty members from the College of Letters and Arts, the Graduate Business School, and the School of Engineering. We look forward to deeper associations with the Schools of Education and of Law.

REFLECTIONS ON THE INSTITUTE'S PURPOSES

Having reported some of our progress, I would now like to review the fundamental ideas on which the Institute was founded.

These assumptions may be stated in the following terms:

1. *The Institute was created to serve the highest levels of the career service — GS-16 and above, or equivalent.*

2. *It is expected to improve their capabilities as leaders.*

3. *It seeks to improve executive performance in three broad areas: managerial performance within the organization;*

coordinative performance in working with other agencies on common problems; and sensing and evaluating the significance of a program to the broader needs of the society.

4. *An executive will come to the Institute only once.*

5. *He will associate with executives from a great many different agencies.*

6. *He will live in a "retreat" situation.*

7. *The session will be lengthy enough to provide for a complete change of pace and a real opportunity for introspection and reflection. That period of time is now seen as eight weeks.*

Of all these concepts, the first is perhaps the most revolutionary to the government, though it is not all that new in business. It is that senior people still need training and development. In this respect, it has to be borne in mind that the Institute is different from a staff college. Its basic mission is not to deal with those who are on the threshold of promotion to high level responsibility, but for those who have already arrived there. The establishment of the Institute was recognition of the tremendously swift change occuring in this society. One of the executives presently resident at the Institute told me the other day that 70 per cent of the revenues of the Burroughs Company comes from products it was not making four years ago! There is great danger that our top leadership will use yesterday's skills to respond to yesterday's problems. As I see it, the Institute's basic purpose is to see that doesn't happen.

This must be recognized as a significantly new idea in our society. It is not surprising that many people have difficulty understanding that highly paid people need to spend some time in study. The managers themselves are the first to admit it, but that does not help others to understand. As a consequence, I expect that the Institute will be subject to rather continual criticism.

Those of us in training should also recognize that the bureaus and departments are highly insular. About two-thirds of promotions to supergrades come from within the same bureau, and, I suspect, for highly able technical performance. Further, since the federal executive is not a mobile person, there is no reason to expect he will gain such perspective through a broad job experience. If the government expects a broad

perspective in its top executives, it therefore must take the initiative in providing it.

One of the most exciting, and also one of the exasperating, aspects of the Institute is its interagency quality. The amount of informal learning that occurs is simply incalculable; indeed, I am certain that our greatest success – a much deepened understanding of the total governmental system – has come very little from the formal program we have offered. In the present session we have a General assigned to the Defense Supply Agency and a Foreign Service Officer. Consider for a moment what it means to them and to their colleagues in the other agencies to be in a continual relationship for eight weeks.

The exasperation comes in trying to find a common curriculum goal to which all can feel equal commitment. Bear in mind, too, that a man comes to the Institute only once. He does not enroll for a course in national economic policy. He arrives, on a one-time basis, to do what will help him most to prepare himself for the tasks of executive leadership. My conclusion is that he must find his own way in this task; and we must provide him with as rich and varied a set of resources as we can.

Furthermore, the problem is one of leadership development. In my view, the leader is typically concerned with the things that are not yet routine, where ideal responses are not yet known, and where the rules are certainly unclear. If you accept the idea that highly-paid people should not be doing a clerk's work, then our problem at the Institute is one of teaching a strategy of dealing with problems, rather than a content of known and predictable means of handling recognized problems.

These considerations mean that there is no standard curriculum for the Institute. Our success will come, it seems to me, in the degree that we can ward off attempts to cast all our federal executives in the same mold with the same sets of needs.

In making these comments about specifics of curriculum, I want to make it clear that the basic missions of the Institute are very much in the forefront of our planning and resource allocations. The Institute must use a great share of its resources to improve managerial competence within the organization, for example. But <u>how</u> that is to be done in the individual case, and indeed <u>whether</u> it needs to be done for some executives, must be an individual decision.

About half of the graduates of the first four sessions attended our follow-on conferences, as I mentioned. This attendance occurred about six months

after the completion of the Residential Program; and we took advantage of this opportunity to circulate a questionnaire to which we had about 100 responses, just about half of the graduates.

The results of these questionnaires showed:

1. *On the managerial dimension, there was a general feeling that overall executive performance had been improved, that there was greater effectiveness in working with subordinates, and that there was more skill in working in problem-solving groups.*

2. *On understanding the total government system, there was a belief that the problems of superiors were better understood and that the requirements and contributions of other agencies were more frequently taken into account when appropriate to decisions.*

3. *On awareness of environmental needs, the executives said they were more aware of the public's needs, sought to learn more about the environment, and felt they considered the environment more realistically in making decisions.*

I believe we have had some success in these efforts because we have created a physical situation that is in sharp contrast to the work situation. There are no telephones in the rooms. We hope to cut executives off as much as possible from their normal concerns so that they may feel free to learn. We do operate a retreat. For some it is a cultural island. In fact, the two terms are <u>not</u> synonymous. I am convinced that for many executives, life in Washington is far more a cultural island than that in the Institute. At the Institute, there are so many executives with so many different backgrounds and obligations in attendance that "the island" is a place of challenge and difference. Furthermore, we don't always stay in Charlottesville. In pursuit of insights for the Policy/Management studies, executives have explored many elements of the society with which they had no contact in the past.

My belief is that the Institute is moving in essentially correct directions. Such evaluations as we have certainly confirm that conclusion. Yet it is understandable that those who are less informed about the many dimensions of these problems would be unaccepting of my judgments. It is a common problem in training, and we all have our task cut out for us not only to do our job but to help decision-makers understand more profoundly the issues that are involved.

ADULT EDUCATION STRATEGIES

Because the men who attend the Institute average about 47 years of age, it is certainly not surprising that we are particularly aware of the literature of adult education. There is no question but that we face very profound problems because of both the chronological and experiential age of the people with whom we deal.

A recent paper summarizes some of the differences between education for youth and for those who are older:*

1. *Time is far more precious to the adult, accentuating questions as to the value of the educational experience.*

2. *The adult relates his learning directly to his experience and his needs. He does not perceive learning as preparation for action; it is a part of action.*

3. *Resistance to learning is higher because adults lose the "sense of discovery." are less willing to risk, and have developed self-concepts of themselves as no longer learners.*

4. *Finally, the authority structure is different. Where both student and teacher are adults, the nature of the interaction between them must inevitably recognize this circumstance.*

Aside from a very profound consciousness of the existence of these differences, I am impressed with the difficulties in constructing a system that will respond appropriately to them. For example, in recognizing the serious time imperatives of our situation, we have struggled to pack about twice as much scheduled learning into eight weeks as would occur in a university. There is relatively little time for personal reading and reflection. Have we over-structured the program? How do we answer those few who regard the limited free moments we do provide as opportunities to reduce the total length of the program?

The sense of urgency has its action implications. Unlike the average college student, the highly-paid executive feels acutely uncomfortable when

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* "The Adult Learning Process" (Adapted from a paper by Howard McClusky, University of Michigan, March, 1969), p. 11.

he cannot translate his education into immediately realizable benefits. This is, of course, quite understandable. Training programs such as those operated at the Institute should have their immediate payoff. The problem, however, is the extent to which we may be sacrificing the long-term (five to ten year) rewards in the process. Often we find the conflict stated in this way, "I see a lot of good for me in this, but I am not sure what it will do for my organization." As time goes on, we have found these concerns decline for most executives. But it takes time before long-range goals become acceptable.

I am not sure I agree that adults have lost the "sense of discovery." Certainly it is not triggered as easily. An environment must be created that is supportive of risk-taking, experimentation, and the testing of new ideas and approaches. Unfortunately, much of what occurs in large organizations is penalizing of such approaches; and there are difficulties in assuring the executives at the Institute that the situation is different. In the overall, one of the most impressive aspects of my experience at FEI has been the eagerness and the enthusiasm with which the executives have gone at the learning process. Given the right circumstances, I do believe the older person can easily revive his "sense of discovery."

One of the confounding problems is the authority relationship in the Institute. While it is true that we are all adults, the habits of a life time are not easily abandoned. Our experience in classrooms has been one of extreme authoritarianism, in which the teacher is in charge and the student subordinate. Further, such a relationship is realistic in many training programs where there is specific content to be imparted. As a result, the executive is not as ready to divorce himself from the traditional teaching relationship as might initially be supposed; and he finds these long-held expectations in conflict with his belief that a place like the FEI ought to recognize fully his accomplishments, his experience, and his maturity. No matter what we do, we tend to be in the middle.

THE IMPORTANCE OF THE ENVIRONMENT

There is much more that might be said about the implications of the Institute experience for adult learning. However, there is one important area that much of the writing seems to omit. This is the significance of the environment from which the executive comes to the training experience.

In a most interesting draft of a dissertation, V. Dallas Merrell has provided added insights into this problem. In his study of graduates of the first two sessions of the Institute, he discovered that the failures to create a readiness to experience change and to reinforce changed behaviors on the

job were largely products of the back-home environment. As might be expected in a new program, there was a great deal of compulsory attendance at the Institute and a feeling that those in the office did not know what the Institute was all about. While these particular problems will pass with time, the more significant finding was the respondents' feeling that the organization did not really want them to change; indeed would not approve of change. Permit me to emphasize the dissonance in this relationship. We say at the Institute that our organizations have to change, have to become more responsive, and have to be more relevant. The climate back home seems to say that the essential proposition of the training effort is not correct.

There are similar problems with giving support to changed attitudes and behavior. Most respondents said no one really cared how they did at the Institute, and there would be no formal or informal supports for any changes they might propose for themselves or the organization as a result of their training. They did not anticipate any change in their job or responsibility as a result of the program.

While it may be argued that this kind of attitude (which certainly does not prevail in all agencies) puts into question all training efforts, I come to exactly the opposite conclusion.

In the first place, the data indicate only how tough it is to operate a successful training program. They do not say it cannot be done. In my view, there is such a strong desire in most people for improvement and growth that the hostility only slows them down; it doesn't stop them.

Second, and certainly most important, it emphasizes again that any executive development program must be considered part of a larger effort to secure, develop, and use scarce manpower resources as well as possible. I believe the Institute is producing executives who are more aware of these problems; and they will play their role in securing system improvements. In the long run, a conscientious effort to improve leadership capability in the government cannot help but return high benefits to the society.

A 1970 VIEW OF THE FEDERAL EXECUTIVE INSTITUTE

This has sometimes been called the day of the "instant organization."

Well it might be – as the case of the Federal Executive Institute attests.

Less than 20 months ago, a small FEI staff was temporarily quartered in rented office space, far removed from its parent organization, the Civil Service Commission in Washington, D. C. Staffers were working with equipment of ancient vintage loaned by the General Services Administration. A faculty was still to be assembled.

By February 1970, the Institute was young only in chronological terms. Well settled in a self-contained residential facility in Charlottesville, Virginia, the Federal Executive Institute counted 317 names in its list of graduates – high level officials who had completed the eight-week Residential Program in Executive Education. In all, more than 500 top career people in the Federal Government had participated in the various training activities of the Institute.

The establishment of the Institute is a direct result of the accelerated rate of change in the society. With today's rapid pace, high quality governmental leadership is ever more necessary, but securing top performance is ever more difficult.

Traditional institutions, as well as established ways of carrying on our public business, have never been under such consistent and withering attack.

In a speech on August 8, 1969, President Richard M. Nixon said:

> *". . . We have the world's most advanced industrial economy, the greatest wealth ever known to man, the fullest measure of freedom ever enjoyed by any people, anywhere.*

Originally published in the Civil Service Journal, Vol. 10, No. 4, April-June, 1970.

"Yet we, too, have an urgent need to modernize our institutions – and our need is no less than theirs. We face an urban crisis, a social crisis – and at the same time, a crisis of confidence in the capacity of government to do its job.

". . . A third of a century of unprecedented growth and change has strained our institutions, and raised serious questions about whether they are still adequate to the times."

The President's call for new institutions is concerned with neither the past nor the present. It recognizes the problem of the future.

In its study of "America's Next 30 Years," the Chamber of Commerce of the United States has predicted that Federal power and influence will expand; that governments will employ more people, will be more involved in regulation of the private sector, will require more cooperation among levels of government, and will use private instruments increasingly to achieve public purposes.

BROADENING EXECUTIVES

Thus the compelling concern is to secure leadership in the various Federal agencies that is broad gauged, aware of institutional complexities, and able – once objectives have been determined – to put together alive, efficient organizations for their accomplishment.

This means that the manager of today does not operate in a tight little world of his own, and this raises a basic problem. In the Federal Government there have been many of these separated turfs. Some of the very best technical people in the world have performed in this specialized system; a very few days' experience at the FEI leaves no doubt why it was the United States that pioneered the landing on the moon.

Increasingly, however, it is not enough to deal only in terms of these specialized sub-systems. In budgeting, for example, a claim for resources requires more justification than that it is simply desirable. The question is *how* necessary the expenditure is, in terms of other competing claims – data that will help array the priorities. Learning how to participate in this process is part of the executive requirement. It is part of broadening – the recognition by each administrator that he has an obligation to ask questions about relevance and to contribute to the larger decision process by the most

careful explanation of how and why certain resources will contribute to society's well-being.

ROLE OF THE FEDERAL EXECUTIVE INSTITUTE

How does the Federal Executive Institute play its part in this process?

First, we concentrate on the people who are already executives. They typically are at grade GS-16, or equivalent. They are the ones who are most likely to influence immediately the way in which the Government does its business.

Second, as an effort in executive development, the Institute is specifically interested in two aspects of the leadership process:

1. *The leader as an individual person.* We have to be sure that we help him use all his individual capability to respond to changing situations.

2. *Leadership as a role,* shaped by expectations directed toward it. We want to examine the expectations and be certain that leaders recognize the full extent of their obligations.

In the undergraduate years, we might have approached this learning problem with traditional lectures. Young students might have been told what was needed in their personal preparation and what would be expected of them in particular types of roles.

In contrast, the FEI executive has not typically been in a formal learning situation in recent years. He has a vast experience to which he must relate any new data or insights presented him; and, because of that experience, he is more insistent that information be relevant to his needs. Finally, the older person has learned patterns of behavior that make it harder for him to try out new ideas and new behaviors.

MEETING INDIVIDUAL NEEDS

About 20 per cent of the participants at the FEI have Ph.D. degrees, or equivalent; 10 per cent are physical scientists; 43 per cent have been in the Federal Government 25 years or more but 7 per cent have been in the system less than 10 years.

Considering the diverse backgrounds, it has been important that we provide a circumstance where each executive has a maximum opportunity to meet his unique development needs. Except for approximately 25 speeches in each session where major governmental and policy issues are discussed, there is almost never a time when an executive may not choose among two or more development activities.

We typically offer 12 seminars, for example, of which the individual executive may take only two. Does he need more understanding of the Federal system? Does he require knowledge of managerial psychology? National security policy? Urban problems? Economic analysis? The offerings need to be as rich and varied as possible, in order to meet the full range of development needs.

A series of intensive workshops, lasting up to 5 days, operate at varying points in the program. These generally cover aspects of the managerial and executive role, skills and attitudes required in responsible performance of leadership tasks, and policy issues with which top Government officials should be familiar.

Because of our interest in reviving the "sense of discovery" in executives averaging 47 years of age, we have set aside an appreciable amount of time (about 50 hours) for intensive study of a critical problem of policy or management, to be undertaken either individually or in small groups.

While these studies are conceived primarily as a means of developing a new zest for inquiry and thought, the products that emerge often have Governmental consequence. In a recent session, the General Counsel of the Bureau of Narcotics and Dangerous Drugs (Justice Department) decided to spend his time on a thorough review of Government policy on marijuana. In broad outline, his previous judgments were confirmed; in certain areas, however, he concluded that policies he had advocated should be amended. Generally, we ask that executives not work in familiar areas; but here is an example where both individual and organizational interest was served.

There is increasing recognition we will not solve critical management problems by emphasizing independence and separateness. We have to recognize the interdependence of agencies and, therefore, of leadership roles in the Government. We have to know and trust each other. And, most important, the career system has the obligation to pull together in support of the elected leaders of the Nation, the President and the Congress.

To give emphasis to the idea of interdependence and support of the whole system, we have prepared a special book of the President's major policy statements for placement in the room of each executive.

LEARNING FROM EACH OTHER

The interagency composition of the Institute is also an important part of the educational environment. Executives learn best from each other; for, at their level of responsibility, there are no experts to whom they can turn. During the first six sessions we had more than 40 major departments and agencies represented, embracing all the primary functions and disciplines of Government. Imagine the learning that occurs when executives from the Weather Bureau, National Park Service, and a military R and D laboratory engage each other on a range of Governmentally-crucial subjects over an eight-week period.

While the eight-week residential program is the main effort of the Institute, many executives are served through the short courses offered during the year. Two seminars, with a total enrollment of approximately 40, introduced officials of about 15 different Federal agencies to the basic ideas in President Nixon's "New Federalism."

In a short article, it is difficult to capture the many ways in which the all-important goal of improving Government leadership is pursued at the Federal Executive Institute. There is one point of complete agreement, however. That is the need for the Government (as well as all the other important organizations in our society) to do its part in insuring that those in leadership roles are given as much support as possible in discharging their significant responsibilities.

AN INTERPRETATIVE SUMMARY
OF A STUDY OF
THREE EXECUTIVE DEVELOPMENT PROGRAMS

In a very interesting effort to examine the dynamics that are influential in the executive development process, V. Dallas Merrell drew on the general learning theories of Kurt Lewin in developing a questionnaire analysis of graduates of three major executive development programs, two exclusively government and the other private.[1] The Lewinian approach emphasizes the life space in which the individual behaves; it concerns not only the individual but the environment of which he is a part.

Lewin pointed out that people first have to be receptive to trying something new; an "unfreezing" must occur. Secondly, they must practice the new behavior, perhaps at the same time developing their own "cognitive map" of the rules that ought to prevail. Third, there is the need to "refreeze," which essentially involves the provision of support from the environment approving the new behavior.[2] In a recent book, Gordon Lippitt explains that the principal influence in the process is the balance of forces that exists in the environment of the individual, some of which are supportive and some of which are blocking. The environment in this case may be the work group, the larger organization, or the world outside. Lippitt continues:

> *We can think of the present state of affairs in an organization as an equilibrium which is being maintained by a variety of factors that "keep things the way they are" or "keep me*

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1. V. Dallas Merrell, Transchange Theory and Strategies for Management Education: A Study of Change Dynamics in Selecting Management Education Programs (A Dissertation presented to the Graduate School of the University of Southern California in partial fulfillment of the degree of Doctor of Philosophy in Public Administration, 1969.)

2. Kurt Lewin's general proposition can be found in many books. See Dorwin Cartright, ed., Field Theory in Social Science: Selected Theoretical Papers (New York: Harper and Row, 1951), p. 240.

An occasional paper prepared and presented at the Federal Executive Institute, September, 1969. Published in Indian Administrative and Management Review, 2:45-51 (October-December, 1969; January-March, 1970).

behaving in my customary ways." The renewal stimulator must assess the change potential and resistance, and try to change the balance of forces so there will be movement toward an improved state of affairs.

. . . Change occurs when an imbalance occurs between the sum of restraining forces and the sum of driving forces. Such imbalance unfreezes the pattern and the level changes until the opposing forces are again brought into equilibrium. An imbalance may occur through a change in the magnitude of any force, a change in the direction of a force, or the addition of a new force.

Lewin pointed out that the effect of change will be maintained if the initial set of forces is unfrozen, initiates the change, and then refreezes at the new level.[3]

PROGRAMS STUDIED

Merrell sought to establish the extent these change dynamics were operating in the three programs studied: the Institute Management Work Conference of the National Training Laboratories and the Executive Seminar Centers and the Federal Executive Institute of the U. S. Civil Service Commission.

These programs are quite different in their general character; and a brief description of each would seem in order. Each, incidentally, is currently operating. Merrell's data came from 1968 and 1969 sessions.

A. *The Institute Management Work Conference*

This program of the National Training Laboratories attracts younger people than the others. Over half of those in the study were under 39. Sessions are held in various parts of the country, with 45-50 in attendance. Two hundred thirty-seven people participated in the five sessions studied. The response from this group was 111 (about 50 per cent of the total).

These conferences operate as do other NTL programs, giving primary emphasis to interpersonal relations and seeking to build a climate of openness and trust. Undoubtedly, Lewinian theory is more consciously followed in this program than in the others. It is generally unstructured

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3. Gordon Lippitt, Organization Renewal, (New York: Appleton-Century-Crofts, 1969), p. 157.

with relatively little attention given to specific content inputs. The length of the program is two weeks.

B. *The Executive Seminar Centers, U. S. Civil Service Commission*

Two Centers are operated by the Commission, one on the East Coast and the other on the West Coast. Though there are some differences in style, the two units offer the same package of courses. Questionnaires were sought from participants in six two-week seminars, three from each Coast. About two-thirds of the 265 enrollees responded, the highest return of the three groups.

The Centers were established to broaden the perspectives of high level government officials at the GS-14 and GS-15 levels, and they enroll participants from virtually all of the major agencies of government. The learning theory is quite different from that of NTL. It is content-oriented. For his study Merrell restricted himself to the graduates of two seminars, one of which is entitled Management of Organizations and the other Administration of Public Policy. Other courses include national security policy, domestic policy, economic policy, environment of federal operations, and federal program management. Thirty-five to forty people attend each session, organized and coordinated by a small permanent staff. The learning process involves a substantial use of outside resource lecturers, with small group discussion and research projects.

C. *The Federal Executive Institute, U. S. Civil Service Commission*

The Institute was established in October, 1968, to provide development services to government executives in the super-grades, GS-16 through GS-18, or equivalent. Though it operates some short courses, the Institute's main activity is its Residential Program in Executive Education, which is eight weeks in duration and given five times a year for 60 executives at a time. Merrell surveyed the graduates of the first two sessions of the Institute, numbering 110. Seventy responded, a return rate of about 64 per cent. The Institute occupies an 85-room hotel facility in Charlottesville and depends heavily on an in-house faculty of 10 for its instruction.

The learning approach of the Institute is somewhere between the NTL and the Executive Seminar Centers. Like the latter, the Institute is significantly concerned with the broadening of its participants, both in terms of the understanding of the government and of the environment in which it operates. In addition, it puts great emphasis on providing an opportunity for individual executives to seek their own learning in an atmosphere of support. There is less emphasis placed on a specific content than in the Executive

Seminar Centers. However, the Institute's program is a structured one; it is not in any substantial degree a laboratory experience.

These organizations, then, were the objects of the Merrell study. The total number of respondents were 359 of a universe of 613. As I noted above, the NTL respondents were substantially younger than the others, with over 50 per cent under 39. The Federal Executive Institute, in contrast, had only five respondents (8 per cent) under 39. Given the status of the Institute executives, it is perhaps not surprising that they were the far best educated. About 55 per cent had graduate or professional degrees, compared with 39 per cent for NTL and 31 per cent for ESC. The latter group had the lowest educational attainment, with nearly 30 per cent lacking a bachelor's degree.

Of major significance is the Merrell finding with regard to the degree to which attendance was initiated by the participant. He asked, "Why did you attend the program?" Three alternatives were provided: (a) someone else decided and sent me; (b) I requested to attend; and (c) other. Merrell found that two-thirds of those attending ESC initiated the action, whereas only one-third did so in the case of the Federal Executive Institute. Nearly half (47%) did so for the NTL programs. From the question and the data reported, it is not clear how many of the FEI respondents felt they were ordered to the experience. While the number is higher than in the other programs, the Federal Executive Institute was only being launched and was less than six months' old when the respondents attended. The Executive Seminar Centers had a similar experience when first started.

While the manager of a training program inevitably worries about participant composition, Merrell's data suggest that one can easily overdo these problems. He found no correlation between readiness to change and age, education, or mode of selection. Nor do age and form of selection seem to have significance for the endurance of the change. It is not clear how education affects change endurance. Merrell's data suggest that the less educated and the highly educated may be the most apt to continue the change over time. The ones with the bachelor's degrees may be our big problem!

COMMON PROBLEMS IN THE THREE PROGRAMS

Merrell applied Lewin's three steps in planned change to executive development in the following ways: (1) unfreezing, the disruption or alteration of existing force balances and creation of a readiness to change; (2) changing, which involves movement to a new behavior; and (3) refreezing, which is the restabilization of forces at the new point.

For each he established several dimensions of behavior. In the case of unfreezing, he looked for reports of disconfirming feedback regarding present attitudes or behavior, recognition of changing group norms, alterations in physical or social environments, new behavioral expectations, feelings of psychological safety to risk, and collaboration with others in the process of change. Essentially these dimensions give evidence whether an individual feels he has been taken out of his normal environment and whether the supports around him are sufficient to allow him to take a chance on changing.

At the level of the change itself, Merrell sought evidence on the forces with a positive valence in support of change. Using Lewin's force field analysis, these would be the elements in the environment that motivate a person actually to engage in change. Three types were identified: (a) compliance forces, which are largely negative and punitive; (b) identification forces, which are positive and come from contact with a reference ideal, or role model; and (c) internalization forces, which involve a process that allows the individual to "own" the changes through his own participation in their development. These latter forces require high trust and psychological safety.

Refreezing was postulated by Merrell as having two basic dimensions. The first involves precedent, i.e. the way in which the change process developed. He calls them antecedent change processes; and they include: (1) individual involvement in the change; (2) degree of collaboration in changes; (3) opportunity to practice the changes; and (4) existence of a cognitive map, i.e. existence of body of theory and rules for application.

The second dimension of refreezing involves the setting to which the participant will return. Merrell calls it a receptor permanent system, which (a) reinforces the changes; (b) provides rewards and formal supports; (c) gives informal support; and (d) extends that support over time.

When the data on all these dimensions are compared, perhaps the most startling finding is how little difference there is among programs, despite their more formal content variations. This is not to say that Merrell's hypotheses were of no consequence. It is just that they seem to operate across the board, despite differences in theoretical orientations.

On the unfreezing dimension, all the programs tended to create conditions of a positive nature in which there was an awareness of changing norms, i.e. talk about change and its effect on the job. An environment was also developed in all three programs that was perceived as markedly different from that "back home" and in which there was a feeling of psychological safety. All had an atmosphere in which risk-taking was possible.

On the other hand, all the programs had trouble developing an expectation that change was desired and new roles could be anticipated back on the job. More than half the respondents of both the FEI and ESC were negative in their response; and almost half of the NTL group had the same point of view.

The change dimension produced a finding which has an intriguing implication. The data show that by a very substantial margin, generally over 80 per cent, the participants in all three programs saw very little possibility that their behavior in the training would result in any rewards and penalties in the organization. In other words, there were no compliance forces operating to motivate participants toward change. Yet it can be argued that the very absence of these compliance forces has made possible a condition of psychological safety in all three programs. It is possible to risk because the likelihood of penalty is remote. Which is the more important in the long run?

From what has already been said, it is not surprising that all three programs created an environment of trust of staff and faculty in which participants were free to accept or reject ideas as their own demands and attitudes demanded.

At the refreezing level, the positive forces that operated in all three programs were high consensus by participants on change needs and the existence of opportunities to practice the changed behaviors. On the other hand, all of the programs experienced certain refreezing difficulties. None, apparently, had been successful in developing a feeling (in terms of Merrell's notion of antecedent change) that significant individual decisions had been made with regard to the changes, thus obviously reducing the level of commitment to them in the long run. Secondly, little had been done in any of the programs to build cognitive maps that emphasized rules of strategy that would serve the participant in following through on his new behaviors in a variety of situations.

There were, of course, some differences. The Federal Executive Institute, though seeming to occupy a middle ground between the other two programs, elicited more varied responses. This is perhaps because it is a new program, and only the first two sessions were surveyed. As I indicated earlier, far fewer people apparently self-selected themselves for the FEI. As a result, there was a much stronger feeling among FEI respondents that key work associates were not familiar with what they were doing, nor necessarily approving. Further, the FEI was seen as an isolated development experience, not involving those with whom participants worked on a day-to-day basis and therefore providing little opportunity for mutual support. Presumably, over time this condition will change.

It is interesting that the FEI seemed more able to create role models which could function as identification forces in the change process. Merrell speculates that this may have occurred because the Institute has attracted a number of significant public figures to Charlottesville; the Executive Seminar Centers have also had their share of notables. Yet more than one-fourth of the ESC respondents declared they did not associate with role models. In this regard, it should be noted that the Centers use many more academic people than does the Institute, which depends on its staff for these types of contributions.

In general, the Executive Seminar Centers varied from the other two in anticipated ways. They did not provide as high a degree of disconfirming feedback as did the other two programs; and because of the structure of the offerings, they did not afford an opportunity to participate in design and content.

How can we use such data in the evaluation of a training program? In the first place, we need to be assured that the dimensions Merrell has used are of importance in the change process. Obviously, there must be agreement that the objective of a training program is to develop awareness or skills that will have an impact on behavior, probably in a shorter time frame than are the anticipations for most educational institutions. While there has been considerable validation of the Lewinian hypotheses about the stages of change, Merrell made a further analysis. He examined the extent of correlation between perceived readiness to change and the unfreezing variables. In each case, the patterns that emerged seemed to be more than a chance relationship; and in most instances a fairly definable configuration was observed. The statistical technique used, the Chi Square test, does not, however, seem to be the most appropriate to measure the extent of these associations. Merrell does not make an absolute case with this data, but he does tend to support other research in the field.

A second test of association was made between perceived endurance of changes and the refreezing variables. With the exception of informal supports, where the distribution was not significant, these variables all did seem to have an identifiable relationship with refreezing efforts. It is interesting, though, that collaboration strategies did not appear to relate very strongly to the endurance of change.

APPLYING THE FINDINGS TO THE FEDERAL EXECUTIVE INSTITUTE

Such conclusions provide a basis of analysis for performance in a particular training organization, such as the Federal Executive Institute. In building

a readiness to change, the Institute is doing well in providing disconfirming feedback, in arranging for a new environmental setting which includes a high degree of psychological safety for risk-taking, and has developed an ambience in which people talk about changing values and behaviors. It is not doing well on the collaborative dimension. The response of graduates of the first two sessions was that they did not in substantial numbers believe that emphasis was placed on their individual needs for change and development. Also, the environment did not give the Institute support in pursuing unfreezing goals. A majority did not expect to go back to new or changed roles, in which new skills would be expected and insights sought. That may be, of course, a special problem of the Institute that cannot be resolved. When a program is designed, for the highest career servants, there is not, in fact, much likelihood that the job will be very different upon return.

With regard to the perceived endurance of change, the Federal Executive Institute again faces some problems. As we might expect from our general knowledge of training, there is a strong tendency to concentrate on the unfreezing and the change, without much attention given to the endurance dimension. That is the profile of the Institute. On the positive side, the FEI has apparently provided substantial opportunities to practice new behaviors and done a satisfactory job of implanting a theory base for such changes. It has also apparently done well at creating a situation of trust and a freedom to explore ideas openly, which Merrell found to be positively related to change endurance.

Its inadequacies, however, are considerable. It has not been able to create circumstances in which individuals feel they are making their own decisions about needed changes. Merrell made the comment, "It is clear that none of the programs included this strategy [emphasis on individual planning and decisions about change] as a significant aspect of their change design." That is not true. We did at the FEI. We were apparently unsuccessful in its implementation.

Several other measures also underscored the felt lack of personal involvement. Obviously such an absence of participation absolves the individual of any responsibility for pursuing the change goal; and this rather directly has an impact on the endurance of change. Though we had not had specific data on the extent of our problem before, it is not a new one to the staff of the FEI. It is unfortunately inherent in traditional approaches to learning. Colleges and most training institutions do not require that the individual take responsibility for his own learning; hence, he has no investment in it. Though the NTL programs do slightly better on this dimension, the surprising finding is that they have troubles in virtually the same degree. One would assume that their purer Lewinian approach would produce better results.

While the FEI provides a body of theory upon which the new behaviors can be based, the evidence suggests that these are largely in the abstract. An overwhelming majority of respondents did not feel that they received "rules of strategy" which they could apply on the job. Again this is a familiar problem. We are frequently asked, "How do I apply what I now know about organizations on the job?" The executives recognize the obvious; they have gotten new insights about organizations but their colleagues have not. Since organizations are made up of many people, it does little good for one person to have a theory. He must also have some behavioral strategies to put his new ideas into effect. We have not learned how to help in this regard; Merrell's data therefore only seem to make the problem more apparent.

As was the case with regard to unfreezing and as is evident in the problem of applying new theory back home, the environment from which an individual comes is critical to the whole training venture. We possibly fail to secure sufficiently enduring change, Merrell finds, because of a general lack of support from the work place. No complementary change occurs in the work environment simply because the people there hear a colleague is having an important and meaningful experience.

It may be theorized that a program with a uniform content which is publicized and remains constant over time would have the best chance of securing back home supports. Under these circumstances, the experience would be a standard one, with relatively unambiguous statements of its nature. The situation at the Federal Executive Institute is substantially different, however. With participants coming from tremendously varied backgrounds and needs, the Institute must have a multiple response program in which there is a variety of opportunities for individual executive development. Thus, since no one knows exactly what the consequence of the FEI experience may be for an individual, it is more difficult to comprehend and accept than where the content is uniform, well-advertised, and regularized.

Finally, there is the nagging problem of follow-up. When the experience is seen as an eight-week interlude, the chances of enduring change are small indeed. Though the FEI did somewhat better on these dimensions than the other programs because it has in fact made a formal effort to maintain contact with its graduates, these mechanisms are only important if they generate motivations to continue the development experience. Unfortunately, over 40 per cent of the FEI participants declared they had little time to continue their development, a statistic which accords very closely with results of our own studies of about 100 graduates. Somehow, the FEI must do its part in building an understanding of personal executive development as a continuing process.

It has not been my purpose in this description of Merrell's very interesting dissertation to argue necessarily for the validity of his research method, its contribution to the evaluation process, nor the propriety of some of his conclusions. The important point is that the research has helped this particular director of a training program look more insightfully at his undertaking.

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